WEST, MARES, SOUSA, AND TRIVELPIECE NOMINATIONS

HEARING

BEFORE THE

COMMITTEE ON ENERGY AND NATURAL RESOURCES UNITED STATES SENATE

NINETY-SEVENTH CONGRESS

FIRST SESSION

ON THE

NOMINATIONS OF J. ROBIN WEST TO BE ASSISTANT SECRETARY OF INTERIOR FOR POLICY, BUDGET AND ADMINISTRATION, DEPARTMENT OF THE INTERIOR; JAN W. MARES TO BE ASSISTANT SECRETARY OF ENERGY FOR FOSSIL ENERGY, DEPARTMENT OF ENERGY; ANTHONY G. SOUSA TO BE A MEMBER OF THE FEDERAL ENERGY REGULATORY COMMISSION, DEPARTMENT OF ENERGY; AND ALVIN W. TRIVELPIECE TO BE DIRECTOR, OFFICE OF ENERGY RESEARCH, DEPARTMENT OF ENERGY

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WEST, MARES, SOUSA, AND TRIVELPIECE NOMINATIONS

FRIDAY, JULY 24, 1981

U.S. SENATE,
COMMITTEE ON ENERGY AND NATURAL RESOURCES,
Washington, D.C.

The committee met, pursuant to notice, at 10:10 a.m., in room 3110, Dirksen Office Building, Hon. James A. McClure, chairman, presiding.

Present: Senators McClure, Murkowski, Nickles, Ford, and Matsunaga.

Also present: Charles A. Trabandt, chief counsel; E. David Doane, counsel; Gary Ellsworth, counsel; and D. Michael Harvey, chief counsel for the minority.

OPENING STATEMENT OF HON. JAMES A. McCLURE, A U.S. SENATOR FROM THE STATE OF IDAHO

The CHAIRMAN. The committee will come to order, please.

This is a hearing to consider the Presidential nominations of J. Robinson West to be Assistant Secretary of Interior for Policy, Budget and Administration; Jan W. Mares to be Assistant Secretary of Energy for Fossil Energy; Anthony G. Sousa to be a member of the Federal Energy Regulatory Commission, and Alvin W. Trivelpiece to be Director of the Office of Energy Research, Department of Energy.

At this time I take great pleasure in recognizing the distinguished Senator from Pennsylvania, Mr. Specter, who will introduce Mr. West.

STATEMENT OF HON. ARLEN SPECTER, A U.S. SENATOR FROM THE STATE OF PENNSYLVANIA

Senator SPECTER. Thank you very much, Mr. Chairman.

It is a pleasure to appear before this very distinguished committee this morning to introduce a Pennsylvanian, who if he will step forward, I shall proceed.

I am sure the balance of his career of public service will be more successful. Robin West has an extraordinary career. In 1974 he was selected 1 of the 10 outstanding young men in Pennsylvania, and while he still qualifies as a young man, I think his ranking would be substantially higher were there to be an updated poll.

He is a graduate of the University of North Carolina—having the good sense to diversify his background—and then Temple University Law School. He has been a top partner and officer of Blyth

Eastman Dillon & Co., where he has extensive experience in corporate financing and investment banking.

He has been very active in political matters, and I think he has contributed greatly to public service and community involvement in the activities that I have been personally familiar with Robin West over the past decade. He hails from the suburban Philadelphia area and has been very active in the affairs of Pennsylvania.

I had the pleasure of having breakfast with the Secretary of the Interior recently, and he commented that the Western States had pretty much taken control over the prestigious and powerful Department of the Interior, but there was one encroacher who had managed to come within the gambit of Interior power, and the Secretary acknowledged that his success probably was due to his name. If they had to have an easterner, they wanted one whose name was West. And I think that that may be a commendation which may portend in substance as well as nomenclature.

It is a pleasure for me to be here this morning to introduce Robin West, and I think he will make an outstanding public servant.

The CHAIRMAN. Thank you. If we had any doubts before, and we had none, they have been allayed by your introduction. I appreciate your appearance here this morning, as I know Mr. West does.

The first witness is Mr. West, the nominee for Assistant Secretary of the Interior for Policy, Budget and Administration.

In this position, Mr. West, you will have broad responsibility related to interagency and interdisciplinary subjects, including natural resources management, environmental quality, outer continental shelf coordination, budget management and policy analysis.

Mr. West has a financial and investment background in the private sector and has served as a senior official in the Department of Defense during the Ford administration.

I am pleased to welcome you to the committee this morning. The rules of the committee, which apply to all nominees, require that they be sworn in connection with their testimony, so I will ask you to please rise and raise your right hand.

[Whereupon, J. Robin West was duly sworn by the chairman.]

The CHAIRMAN. There are four questions we ask of all nominees. Before you begin your testimony I will ask you, too.

Will you be available to appear before this committee and other congressional committees to represent departmental positions and respond to issues of concern to the Congress?

Mr. WEST. Mr. Chairman, I will.

The CHAIRMAN. Your informational statement has been submitted to the committee. However, it is required that this statement be made public unless the committee desires that special circumstances justify an exception. Do you have any objection to the publication of your informational statement?

Mr. WEST. Mr. Chairman, I have no objection.

The CHAIRMAN. Are you aware of any personal holdings, investments, or interests that could constitute a conflict of interest, or create the appearance of such a conflict, should you be confirmed and assume this office to which you have been nominated by the President?

Mr. WEST. Mr. Chairman, my investments and holdings have been reviewed by the Ethics Counsellor within the Federal Government. Pursuant to the materials which you have concerning these holdings, I will follow the direction of the Ethics Counsellor and this committee. I am unaware of any conflicts which will result after those actions have been taken.

The CHAIRMAN. Are you involved in or do you have any assets held in blind trusts?

Mr. WEST. No, sir, not at this time. However, upon confirmation I will form a qualified diversified trust and place virtually all my direct personal holdings there.

The CHAIRMAN. Thank you very much.

Senator Matsunaga has asked that he be given the opportunity to introduce Mr. Sousa, and we are particularly happy to have a member of our own committee here to do that sort of pleasant chore. I will recognize the Senator from Hawaii.

Senator MATSUNAGA. Thank you very much, Mr. Chairman. As you know, we have other committee meetings going on.

STATEMENT OF HON. SPARK M. MATSUNAGA, A U.S. SENATOR FROM THE STATE OF HAWAII

Senator MATSUNAGA. Mr. Chairman, it is a great occasion where an elected official can reach across the aisle and find someone whom one can unqualifiedly support for a position, and this is one of the rare occasions, and I deem it a great privilege to introduce to you, Mr. Chairman, and the members of this committee, an outstanding resident of the State of Hawaii, Anthony G. Sousa, the President's nominee for membership on the Energy Regulatory Commission.

Mr. Sousa presently serves as vice president and general counsel of the Hawaiian Telephone Co. His previous experience includes 5 years as counsel, then senior counsel, and then administrative law judge for the California Public Utilities Commission and 5 years as the assistant manager of the Western Regional Distribution Division, Thomas J. Lipton Inc., formerly known as Lipton Tea Co.

He is a graduate of the University of San Francisco Law School, and he earned a law degree from the University of California Law School at Berkeley. He is a member of the California State Bar Association, the Hawaii State Bar Association, and International Bar Association.

He enjoys an excellent reputation in Hawaii. He is an active member of the chamber of commerce and of the Chinese and Portugese Chambers of Commerce.

Senator FORD. He doesn't miss any of them, does he?

Senator MATSUNAGA. He missed the Japanese Chamber. He will get there, I am sure.

Because he speaks excellent Chinese that is why he is a member of the Chinese Chamber. I learned only yesterday that being an expert linguist he probably will learn the Japanese language better than I speak it.

Tony and his wife have been very active in civic affairs in Honolulu, and his daughter, who was the deputy attorney general and is now in private practice in Honolulu, served as a congression-

al intern in my office many years ago, so our friendship goes back years before today.

I have on a number of occasions consulted Tony in his capacity as counsel to the Hawaiian Telephone Co. about matters relating to communications and utilities, and I am confident that he will be a real asset to the Energy Regulatory Commission.

I urge that this committee recommend that his nomination be speedily confirmed by the Senate.

It is now my great pleasure to introduce Mr. Anthony Sousa.

The CHAIRMAN. Thank you very much, Senator Matsunaga. I appreciate that statement and I know Mr. Sousa and his family appreciate it as well.

The other distinguished Senator from Hawaii, Mr. Inouye, asked me to express his regret that he was unable to be here this morning. He has submitted a statement in support of Mr. Sousa's nomination, and it will be included in the record at this point.

[The prepared statement of Senator Inouye follows:]

STATEMENT OF HON. DANIEL K. INOUYE, A U.S. SENATOR FROM THE STATE OF HAWAII

Mr. Chairman, I am pleased to support the nomination of Mr. Anthony G. Sousa as a member of the Federal Energy Regulatory Commission. Mr. Sousa brings excellent qualifications to this position and I am certain that he will perform his responsibilities in a most admirable manner.

Since 1973, Mr. Sousa has been Vice President and General Counsel of the Hawaiian Telephone Company, with responsibility for all legal matters involving this large public utility. From 1968 to April 1973, Mr. Sousa served as counsel, senior counsel, then finally as administrative law judge at the California Public Utilities Commission.

In addition to his long experience in public utility regulation and law, Mr. Sousa exhibits a strong and active concern in community affairs. He has been extremely active in Hawaii's business and cultural organizations.

I hope that you will give Mr. Sousa your favorable and speedy approval, in view of his outstanding record and great potential for serving our nation.

The CHAIRMAN. Mr. West, you may proceed.

STATEMENT OF J. ROBINSON WEST, NOMINEE TO BE ASSISTANT SECRETARY OF INTERIOR FOR POLICY, BUDGET AND ADMINISTRATION, DEPARTMENT OF THE INTERIOR

Mr. WEST. I will summarize the statement.

I consider it an honor to come before this committee and express my gratitude to President Reagan and Secretary Watt for the confidence they have placed in me. I consider it a great privilege to be able to participate in public life at this important time—a new beginning for the Federal Government and the Nation. I am also deeply appreciative of the support which I have received from Senator Heinz, Senator Specter, who was thoughtful enough to introduce me, and Congressman Schulze, my Congressman from Pennsylvania.

From my experience at the White House and in the Defense Department, I believe that I have gained an understanding of the organization and management of large bureaucracies. Waste can be cut, and the burden of Government reduced. Government can be made efficient and responsive.

From my experience in the private sector, as well as serving as Deputy Assistant Secretary of Defense for International Economic

Affairs, I am convinced that it is the marketplace rather than Government planning which can provide solutions to significant national problems. In the end, economic realities will determine the success of many Government policies. Too often, this basic assumption has been ignored.

In recent years much of my time and interest has been spent on the issue of national security. I believe that some decisions which will be made at the Interior Department will substantially affect the Nation's national security well into the 21st century. Specifically, much of the political uncertainty in the world today is generated by the question of access to the supply of natural resources, notably energy, as well as certain critical strategic minerals. The Interior Department must develop balanced programs which encourage secure supplies of these resources.

Finally, I am a lifelong resident of Chester County, Pa. Chester County is one of the most agriculturally productive areas in Pennsylvania. The land is very productive and very beautiful. That area is my home, and I am tied to that land. Over the years I have actively supported a number of organizations which have worked to preserve the land, notably the Tri-County Conservancy of the Brandywine. As a member of the Government Study Commission of Chester County, I chaired a task force on land use. Given my own attachment, I do not wish to see actions of the Federal Government which needlessly destroy or despoil the land anywhere. The Government must be a good steward.

I believe that I have been offered a remarkable opportunity to participate in public issues in an unusual time in American life. The private enterprise system is being reaffirmed, a sense of national pride and optimism is being rekindled. Most importantly, Government will be run for the benefit of individuals, not just for itself.

Mr. Chairman, I am here to seek the approval and, hopefully, the support of this committee to do my part in the accomplishment of these goals.

[The prepared statement of Mr. West follows:]

STATEMENT OF J. ROBINSON WEST
NOMINATED FOR THE POSITION OF
ASSISTANT SECRETARY OF THE INTERIOR FOR POLICY, BUDGET AND ADMINISTRATION
BEFORE THE SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES

Mr. Chairman and Members of the Committee. I am J. Robinson West, President Reagan's nominee to be Assistant Secretary of the Interior for Policy, Budget and Administration. I consider it an honor to come before this Committee and express my gratitude to President Reagan and Secretary Watt for the confidence they have placed in me. I consider it a great privilege to be able to participate in public life at this important time - a New Beginning for the Federal Government and the nation. I'm also deeply appreciative of the support which I have received from Senator Heinz, Senator Specter and Congressman Schulze.

The Committee has been provided a resume of my background. There are several points which I would like to make, however. Much of my career has been spent in public service, particularly focusing on management. As a member of the White House staff, I was Associate Director of the Presidential Personnel Office, responsible for senior appointments in the Departments of State, Defense, Interior and Justice, as well as such agencies as the Central Intelligence Agency. At the Department of Defense I was responsible for the selection, organization and management of senior officials within the Defense Department, as well as working directly with the Secretary and Deputy Secretaries on general management issues. I believe that I have gained an understanding of the organization and management of large bureaucracies. Waste can be cut, and the burden of government reduced. Government can be made efficient and responsive.

From my experience in the private sector, as well as serving as Deputy Assistant Secretary of Defense for International Economic Affairs, I am convinced that it is the marketplace rather than Government planning which can provide solutions to significant national problems. In the end, economic realities will determine the success of many Government policies. Too often, this basic assumption has been ignored.

In recent years much of my time and interest has been spent on the issue of national security. I believe that some decisions which will be made at the Interior Department will substantially affect this Nation's national security well into the Twenty-First Century. Specifically, much of the political uncertainty in the world today is generated by the question of access to the supply of natural resources, notably energy, as well as certain critical strategic minerals. The Interior Department must develop balanced programs which encourage secure supplies of these resources.

Finally, I am a life-long resident of Chester County, Pennsylvania. Chester County is one of the most agriculturally productive areas in Pennsylvania. The land is very productive and very beautiful. That area is my home, and I am tied to that land. Over the years I have actively supported a number of organizations which have worked to preserve the land, notably the Tri-County Conservancy of the Brandywine. As a member of the Government Study Commission of Chester County, I chaired a Task Force on Land Use. Given my own attachment, I do not wish to see actions of the Federal Government which needlessly destroy or despoil the land anywhere. The Government must be a good steward.

I believe that I have been offered a remarkable opportunity to participate in public issues in an unusual time in American life. The private enterprise system is being reaffirmed, a sense of national pride and optimism is being rekindled. Most importantly, Government will be run for the benefit of individuals, not just for itself.

Mr. Chairman, I am here to seek the approval and hopefully the support of this Committee to do my part in the accomplishment of these goals.

The CHAIRMAN. Thank you very much.

Senator Ford.

Senator FORD. You want me to go first?

The CHAIRMAN. Go right ahead.

Senator FORD. Thank you, Mr. Chairman.

Mr. West, you and I discussed the matter of the abandoned mine reclamation fund. I know this is not your direct responsibility. However, how the noney from this fund is budgeted is vital. It will determine whether major States choose to assume primacy or choose to have the program revert back to the Federal Government because of loss of funds.

I am going to pose a series of questions relating to the fund. These are essentially the same questions I posed to Dick Harris at his nomination hearing. You may not be in a position to answer them, but I would appreciate a written reply for the record if you don't feel comfortable with the answers that you give to me today.

Now, Mr. West, the Surface Mining and Reclamation Act establishes the abandoned mine reclamation fund. Section 401(a) creates a trust fund on the books of the Treasury for payments to the States for reclamation, but only after the State has an approved program.

Fifty percent of the reclamation fees collected in any State shall be allocated to that State pursuant to an approved program.

I realize that the trust fund is not a pure one. First, grants are subject to appropriation but without fiscal year limitations. Second, and more important to my point, section 402(g)(2) provides: That if funds allocated have not been expended within 3 years after their allocation, they shall be available for expenditure in any eligible area, as determined by the Secretary.

The previous administration by regulation provided that the funds in trust for a State lapsed if not expended within 3 years after collection. This is now under review.

How do you interpret "allocated" in light of the fact that (g)(2) states that 50 percent shall be allocated under an approved program? The section I referred to a moment ago states that 50 percent shall be allocated under an approved program. What is your interpretation?

Mr. WEST. Mr. Chairman, as we discussed yesterday, the questions are under review in the Department and Assistant Secretary Miller and Director Harris are responsible. What I would like to do is to come back to you with a written answer on each of these. I

would like to leave that answer at this point by responding to you with a written answer.

Senator FORD. Well, do you have any feeling as it relates to the 3 years? Does the 3 years run from collection or from the time of allocation under an approved program?

Mr. WEST. Senator, my sense is that the administration is committed to a sound surface mining program, and it is important that the States be encouraged to develop and assume responsibility for their programs. I think it is important that the States be encouraged to assume this responsibility.

Naturally, as I say, I have to consult with Dan Miller, the Assistant Secretary for Energy and Minerals, and Dick Harris, the Director of the Office of Surface Mining. My sense, however, is that we should encourage the States, and that it would certainly benefit States if the period begins once their programs are approved rather than once the funds are collected. I would want to encourage the funding which would benefit the States the most.

Senator FORD. Mr. West, can you furnish the committee a complete listing by State and by year of collection of the 50-percent money?

Mr. WEST. Not at this time, Senator.

Senator FORD. Could you shortly?

Mr. WEST. It is my understanding that by the end of fiscal year 1982 the fund will have approximately $531 million in it, and the States' share will be $327 million. This is a substantial amount of money. Kentucky is the leading coal producer in the United States, and certainly I will be able to provide more specific information later.

Senator FORD. I feel that this issue is crucial to primacy. If a State loses a substantial amount of its reclamation fee money, it could well opt not to accept primacy. So where you are trying to give it to the States, the State is going to give it back to you, so you are going to have a lot more work to do.

Mr. WEST. We want to create incentives.

Senator FORD. But if the interpretation is from date of collection, we will lose millions of dollars and States are not going to go for primacy, and I think it is going to create an opting not to accept primacy.

There has been some discussion by State officials, Kentucky included, that the trust money is being used for general expenses. How do you interpret expenditure by the Secretary in any eligible area?

Mr. WEST. I would like to get back to you with a formal answer, but I assume that eligible area would mean an area within a certain State from which the funds came, and areas in which there has been surface mining.

Senator FORD. Well, your interpretation and mine are the same, and as a conferee for days and days and days in this particular area, I understand it to mean any area eligible for reclamation, not any expenditure eligible under law for other purposes. So you and I basically agree.

Mr. Chairman, I have no further questions of the witness, but I have a statement to follow my questions I would like to give at this time with your permission.

The CHAIRMAN. You may proceed.

Senator FORD. I would like to go on record relating to a problem I see coming up on the abandoned mine reclamation fund.

I have been satisfied with reassurances that I have received from Mr. West and Interior Department officials. However, I have a certain feeling about OMB's possible role in the disposition of this money.

If the States are deprived of their 50 percent of collections after a 3-year period, this will mean literally hundreds of millions of dollars will be available to be spent for other programs under the interpretation that I feel that OMB is moving toward. This is part and parcel of the policy problems that face this administration, just as it has the previous administration. If dedicated money can be shifted by OMB for other purposes than that for which it is dedicated, then not only the Department that administers the program but also the Congress is taken out of policymaking.

If this happens with the abandoned mine reclamation money, Mr. Chairman, I intend to do the best I can to attempt to open up the law, and I don't think too many of us desire this to happen at this time.

The reclamation fund arrangement is an integral part of the law and without it we would not have enacted the law. If this part of the Surface Mining Act is nullified I intend to try to see that we start all over again. I don't think too many of us wish this to happen. I don't wish to do it and I don't think many others wish for this to happen, but I see no alternative as it relates to my State.

I thank the Chairman for his compassion for this Senator.

The CHAIRMAN. I welcome the statement. It not only is compassionate, but I would have been very unwise if I had not allowed you to make the statement.

Senator FORD. I have never done a soft shoe on the bar yet, but that doesn't mean I can't.

The CHAIRMAN. Senator Murkowski?

Senator MURKOWSKI. Thank you, Mr. Chairman.

Mr. West, your responsibilities in the area of policy and budget and administration, would you enlighten me a little on policy, how do you see your role in policy?

Mr. WEST. There is an Office of Policy Analysis which provides economic analysis and review of the programs of the Department, while also reviewing regulatory changes. It reviews the initial policy phase of the budget. It reviews budget, and it provides general policy support to the various Assistant Secretaries, the Under Secretary, and the Secretary.

Senator MURKOWSKI. So you see yourself as channeling policy rather than originating it?

Mr. WEST. There are some initiatives—this position does channel policy. It reviews and coordinates, but there is some original policy that emerges from the office.

Senator MURKOWSKI. Can you give just an offhand example of where Government destroys land?

Mr. WEST. I think that there have been decisions by Government which in the past—by Government planners which have been unfortunate, whether it is the location of roads——

Senator MURKOWSKI. I agree with that. You don't necessarily mean destroying the land in the sense inferred here, needlessly destroy the land? I assume you mean lack of planning or something like that?

Mr. WEST. Yes.

Senator MURKOWSKI. You have indicated that you would work to preserve the land. I am curious with regard to your policy position and what appears to be a commitment by the Department of Interior toward the use concept if there are any substantial differences in your own attitude toward the wise multiple use of public land vis-a-vis the necessity to preserve some land, or what position you might have, or do you see yourself in a position of conflict on this at all?

Mr. WEST. No, sir; I don't. Referring specifically to preservation of the land where I live, I feel that multiple use has been successfully employed as a land use planning concept.

Senator MURKOWSKI. You are suggesting it stay as farm land?

Mr. WEST. If people want to keep it as farm land then the Government should not take actions which make it difficult for it to stay as farm land.

Senator MURKOWSKI. Thank you. I have no further questions.

Senator FORD. The Senator from Alaska whetted my appetite just a little bit. Mr. Heine was from your State. He was the Director of the Office of Surface Mining. Were you familiar with him?

Mr. WEST. No, sir. He was in the last administration.

Senator FORD. I know, but he was also the administrator of the reclamation program for the State of Pennsylvania years before that.

Mr. WEST. No, sir, I am not familiar with him.

Senator FORD. In Pennsylvania hardly anybody surface mines over 20 degrees, so you have a different structure and coal is in a different place, Pennsylvania is much different from West Virginia or Kentucky. I want you to perceive that without the idea that all parts of the country are like Pennsylvania. We are not. Wyoming, Kentucky, Montana, all have different topography. Where in Wyoming they have 5 feet of overburden and a 50-foot seam, Kentucky might have 50 feet of overburden and a 50-inch seam, but the coal is different.

Mr. WEST. I understand the administration's surface mining program. It recognizes the fact that Kentucky is different from Pennsylvania, which in turn is different from Wyoming, so the program can function as efficiently as possible and be the least burdensome in each State.

Senator FORD. How will the marketplace protect the health and safety of people? You said: "I am convinced that it is the marketplace rather than Government planning which can provide solutions to significant national problems." How will the marketplace protect the health and safety of our people?

Mr. WEST. I think there are several ways. Of course, the marketplace will not provide solutions to all problems. Certainly there should be Government enforced safety standards. By the same token, it is a healthy industry which can afford to make the proper investment in health and safety equipment as well as maintain the

ability to comply with those standards. The marketplace can protect individuals by providing disincentives, so that there is a substantial cost if corporations don't meet that standard.

Senator FORD. You are saying the Government will set the standards and the marketplace must reach those standards. You are saying to me, we will make the standards and it is up to them. If not you are going to get after them?

Mr. WEST. Yes.

Senator FORD. You are getting into the situation of saying the marketplace is going to take care of it and get the regulations off your back.

Mr. WEST. But those standards will be there. We are committed to seeing that the mining industry in particular is very safe.

Senator FORD. Let me say, at the rate you are going you are going to put so much weight on management that you are liable to have a management crisis within a year. I think you ought to be very careful about throwing everything into the marketplace and that is going to solve all our problems, and I don't believe our problems can be solved in a short period of time. You are throwing a lot of weight on a market that is more interested in short-term profit. You can't say the marketplace is going to solve everything, and then say, we have to have standards, we have to look after the safety and health.

I want you to be very cautious about that position. I think this problem is going to be damaging to some if we keep leaning on the marketplace so much without criteria for the marketplace to reach. They are after-short term profits, not long-term good.

Thank you, Mr. Chairman.

The Chairman. Our next witness is Jan W. Mares, nominated to be Assistant Secretary of Energy for Fossil Energy. He has received degrees in chemistry and chemical engineering, and he also holds a law degree.

He has been employed by Union Carbide Corp. since 1963. He has held a number of positions within the corporation, including business manager in the hydrocarbons department, and since 1979 he has been vice president-general manager of the ethylene oxide derivatives division.

As Assistant Secretary of Energy, for Fossil Energy, Mr. Mares will be responsible for research, development, and demonstration programs involving fossil fuels. These programs cover applied research, technology development, engineering development and technology demonstration related to fossil fuel extraction, supply, conversion or utilization.

As indicated by his background and his managerial experience, Mr. Mares is well suited to fulfill the responsibilities of the Assistant Secretary for Fossil Energy.

Senator Weicker had wished to be here this morning, but he indicated at the last moment that he could not be. He has asked that he be permitted to file a statement in support of the nomination, and that is so ordered.

The committee also has statements from Senator Bentsen and Senator Danforth which will be included the record at this point.

[The statements follow:]

STATEMENT OF HON. LOWELL P. WEICKER, JR., A U.S. SENATOR FROM THE STATE OF CONNECTICUT

Mr. Chairman and members of the committee, I have the pleasure of appearing before you today for the purpose of introducing a most distinguished citizen from Connecticut, Mr. Jan Mares. Mr. Mares is the President's nominee to become Assistant Secretary of Energy for Fossil Energy.

Mr. Mares is particularly well suited for this position by virtue of his extensive education as an engineer, lawyer, and business manager. Mr. Mares received a bachelor's degree in chemistry from Harvard University in 1958, a master's degree in chemical engineering from MIT in 1970, and a law degree from Harvard in 1963

Subsequently, Mr. Mares was employed by Union Carbide Corp. and has remained with that company throughout his professional career. His career has spanned many areas of Union Carbide's operations. In 1972, he served as international counsel and in 1973 he became business manager of their Hydrocarbons Department. Since 1979 he has served as vice president and general manager of the ethylene oxide derivatives division. Thus, Mr. Mares' experience and responsibility readily suggest a man very well suited to become Assistant Secretary of Energy, a position requiring both technical expertise and excellent managerial skills.

Mr. Mares strongly supports this administration's goals of removing barriers to energy production while focusing on effective research and development. The Federal Government should encourage the development of our vast fossil energy reserves, while at the same time making every effort to safeguard public health and the environment. Mr. Mares is aware of this need for a balanced approach toward our energy policy. It is my distinct pleasure to endorse his nomination and to recommend him to you as the next Assistant Secretary of Energy for Fossil Energy.

STATEMENT OF HON. LLOYD BENTSEN, A U.S. SENATOR FROM THE STATE OF TEXAS

Mr. Chairman and Members of the committee, it is a distinct pleasure to recommend for your approval a man of keen intellect and vast experience in energy areas who grew up in the State of Texas—Mr. Jan Mares, the President's nominee to be Assistant Secretary of Energy for Fossil Energy.

Mr. Mares is uniquely suited to this position by virtue of his extensive education and experience as an engineer, lawyer, and business manager. Mr. Mares graduated from high school in Houston. He later went on to receive a bachelor's degree in chemistry from Harvard University in 1958. He received a master's degree in chemical engineering from MIT in 1970, and a law degree from Harvard in 1963. His family has lived in Dickinson, Tex. since 1947 and has participated in various community activities.

Jan Mares went to work for Union Carbide Corp. and has remained with that company throughout his professional career. He has worked in many areas of their operation. In 1972 he served as international counsel, and in 1973 he became business manager of the hydrocarons department. Since 1979 he has served as vice president and general manager of the ethlene oxide derivatives division. His varied experiences and responsibilities with the Union Carbide Corp. point to a man well suited to be an Assistant Secretary of Energy, a position which requires thorough technical knowledge as well as excellent managerial skills.

Mr. Mares strongly supports the goal of removing barriers to energy production and focusing on long-range, high-payoff research and development. The Federal Government must allow development of our vast fossil energy reserves while at the same time continuing to safeguard public health and the environment. Mr. Mares well understands this. It is my distinct pleasure to endorse his nomination and recommend him to you as the next Assistant Secretary of Energy for Fossil Energy.

U.S. SENATE,
COMMITTEE ON FINANCE,
Washington, D.C., July 22, 1981.

Hon. JAMES MCCLURE,
Chairman, Energy and Natural Resources,
Washington, D.C.

DEAR MR. CHAIRMAN: It is my pleasure to introduce Mr. Jan Mares before the Committee concerning his confirmation as Assistant Secretary for Fossil Fuels, Department of Energy.

Mr. Mares was born and raised in St. Louis, Missouri. His professional and academic qualifications are outstanding. He graduated from Harvard College in

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1958, and then received his law degree from Harvard. His graduate studies were completed at Massachusetts Institute of Technology.

He started at Union Carbide as an attorney in 1963 and then worked in various management positions in Union Carbide, becoming Vice President and General Manager of the Ethylene Oxide Derivatives Division in 1979.

I am sure that Mr. Mares will be a great asset to the Department of Energy.

Sincerely,

JOHN C. DANFORTH.

The CHAIRMAN. Mr. Mares, the rules of the committee, which apply to all nominees, require that they be sworn in connection with their testimony. I will ask you to stand and raise your right hand.

[Whereupon, Jan W. Mares was duly sworn by the chairman.]

The CHAIRMAN. There are four questions addressed to all witnesses before this committee who are nominated for administrative positions, and I would like to ask these questions of you.

Will you be available to appear before this committee and other congressional committees to represent departmental positions and respond to issues of concern to the Congress?

Mr. MARES. I will.

The CHAIRMAN. Your informational statement has been submitted to the committee. However, it is required that this statement be made public unless the committee decides that special circumstances justify an exception. Do you have any objection to the publication of your informational statement?

Mr. MARES. I have no objection.

The CHAIRMAN. Are you aware of any personal holdings, investments or interests that could constitute a conflict of interest, or create the appearance of such a conflict, should you be confirmed and assume the office to which you have been nominated by the President?

Mr. MARES. I have filed a statement of the various energy concern interests that I have and my commitment to divest my interest in them. There are four interests that I have sought waivers for. They relate to my vested pension with Union Carbide Corp., my interest in two privately held companies, Energy Resources Co. and Energy Resources AG, which I will sell as soon as I can, and those two are in the Senate statement, and this week I learned of a possible way to sell an interest in a drilling program. I have sent a letter to counsel at the Department and given it to counsel for the majority and minority, and sought a waiver to allow me to hold it until I can sell it. It will take a little bit longer.

Relative to all four of those interests, I will decline to participate in any particular matters in which those firms are involved as a formal party or with respect to which it is known for me to have a direct and specific financial interest.

The CHAIRMAN. You have consulted with the appropriate officials in the Department and in the Office of Government Ethics with respect to both the recusal and divestiture?

Mr. MARES. I certainly have, and I do not expect that the recusals will in any way, in a practical sense, affect my ability to perform this position to the fullest.

The CHAIRMAN. One or two of those holdings are in a relatively small and closely held corporation?

Mr. MARES. They are, sir.

The CHAIRMAN. It is your belief that in order to be fair to the other people involved, as well as to yourself, that it might take a little longer to dispose of those securities, is that correct?

Mr. MARES. That is correct. I believe there are less than 20 stockholders in the two companies.

The CHAIRMAN. But you intend to move as quickly as possible in that direction?

Mr. MARES. Yes.

The CHAIRMAN. Are you involved in or do you have any assets held in blind trusts?

Mr. MARES. No, sir, although I expect that at such time as I have sold my energy interests to consider putting the cash and any nonenergy interests into a qualified diversified trust, which in a lay sense might be considered to be a blind trust.

The CHAIRMAN. But not otherwise?

Mr. MARES. Not otherwise, no, sir.

The CHAIRMAN. Thank you very much. We have your written statement which will be made a part of the record in full. You may proceed to give that statement or summarize it, or proceed in whatever way you desire.

STATEMENT OF JAN W. MARES, NOMINEE TO BE ASSISTANT SECRETARY OF ENERGY FOR FOSSIL ENERGY, DEPARTMENT OF ENERGY

Mr. MARES. Recognizing the demands on the Senators' time, I would like to speak from the first and last pages of the statement, and leave the rest for the record.

Mr. Chairman and distinguished members of the committee, I am honored to appear before you as President Reagan's nominee to be Assistant Secretary for Fossil Energy in the Department of Energy.

I believe that the economic and strategic health of this country depends upon a strong, sound, sufficient, economic, and environmentally acceptable energy supply. I believe that the movement toward free market pricing of all fuels is desirable, though in the short run, perhaps individually painful. I believe that it is necessary to improve the efficiency of our energy use and to develop wherever we can additional sources of traditional and nontraditional energy. I am convinced that there is an important role for the Federal Government both in removing largely self-imposed barriers to energy production and in supporting long-range, high-risk research and development. This is particularly true in the area of fossil energy. The vast U.S. fossil energy reserves can be more fully developed over time and in concert with our environmental goals. Through a proper mix of Federal and private initiatives, we have an unparalleled opportunity to use our reserves of coal, petroleum, oil shale, and natural gas to achieve greater energy and economic security.

In structuring this R. & D. program, we must also recognize that there are more paths of innovation than the Government can afford to pursue. Today's economic conditions will impose tighter limits on all Government programs, and R. & D. notwithstanding its worth, will have to compete.

Within the framework of the administration's economic recovery program, I would intend to be an aggressive advocate of a fundamentally strong Federal R. & D. effort in fossil energy. And I would intend to maintain open channels of communication with the fossil energy community and other interested groups to insure that Federal expenditures are consistent with their perception of future needs.

Members of the committee are aware, I am sure, that the Fossil Energy Office of the Department of Energy includes many highly professional, competent, and knowledgeable personnel. I expect their high quality work will continue to make a meaningful contribution to our Nation's energy program.

In conclusion, Mr. Chairman, the reasons I am interested in being favorably considered for this position are many.

First, I have always believed that I had an obligation at some time to work for the Government to pay in some measure for the benefits of an education, a safe home, and the freedom we have in this country. Many of my role models, including my father, worked at varying times for the Government.

Second, I firmly believe that President Reagan's energy principles and programs are sound and I would like to assist in their development and implementation.

Third, with an increased emphasis on restoring private sector initiative in the energy field, I am convinced that it would be particularly advantageous to bring industrial experience into Government.

And fourth, I believe I have the relevant skills and experiences to do the job.

I look forward with excitement and enthusiasm to working for President Reagan and Secretary Edwards and with the committees of Congress, including this committee, on one of the most important goals that our country has now and will have for some time to come—namely, the development of sufficient, economic, environmentally acceptable fuels to support our economy and permit the Nation to maintain its economic and national security, to serve its people and to fulfill its world responsibilities.

Thank you very much, and I would be pleased to try and answer your questions.

[The prepared statement of Mr. Mares follows:]

STATEMENT OF JAN W. MARES

NOMINEE TO BE THE

ASSISTANT SECRETARY FOR FOSSIL ENERGY
U.S. DEPARTMENT OF ENERGY

Mr. Chairman and distinguished members of the Committee, I am honored to appear before you as President Reagan's nominee to be Assistant Secretary for Fossil Energy in the Department of Energy.

I believe that the economic and strategic health of this country depends upon a strong, sound, sufficient, economic and environmentally acceptable energy supply. I believe that the movement toward free market pricing of all fuels is desirable, though in the short run, perhaps individually painful. I believe that it is necessary to improve the efficiency of our energy use and to develop wherever we can additional sources of traditional and non-traditional energy. I am convinced that there is an important role for the Federal Government both in removing largely self-imposed barriers to energy production and in supporting long-range, high-risk research and development. This is particularly true in the area of fossil energy. The vast U.S. fossil energy reserves can be more fully developed over time and in concert with our environmental goals. Through a proper mix of Federal and private initiatives, we have an unparalled opportunity to use our reserves of coal, petroleum, oil shale and natural gas to achieve greater energy and economic security.

I would like to make some brief remarks highlighting my experience, my qualifications, and why I am interested in this position. Then I will be pleased to answer any questions you may have.

Although born in St. Louis, I moved to the Gulf Coast of Texas in 1947. There, my father was in the petrochemical business; so I grew up learning about hydrocarbons for energy and feedstock use.

I received a Bachelors' degree in chemistry from Harvard College in 1958, a Masters' degree in chemical engineering from the Massachusetts Institute of Technology in 1960, and a law degree from Harvard Law School in 1963.

My entire professional career has been with the Union Carbide Corporation. The first 10 years I was in the Law Department working on antitrust, domestic commercial matters, international business transactions and finance department matters. These experiences are relevant to my proposed new position because they required a balancing of various interests, often involving large, complex projects, and the necessity of working with many different countries and people around the world.

This experience also included my first association with the Congress in providing information regarding existing or proposed legislation. It emphasized to me the important role that the Congress plays in the continuing economic progress of this country, and I believed then and will continue to believe that an open and candid dialogue is of utmost importance in providing the information you need to carry out that role.

Because I desired to work as a manager in the chemical business, in 1973 I left my position as International Counsel for Union Carbide to become the manager of the Corporation's efforts to build a profitable petrochemical facility with an oil producing country in return for a long term supply of raw material. A detailed feasibility study of a project in Iran was completed in 1975 after which the Corporation decided not to proceed.

I was also a member of the Hydrocarbons Department of Union Carbide during the 1973-74 oil embargo and saw the scrambling that took place in obtaining hydrocarbon raw materials and allocating finished goods.

In 1976, I became an Operations Manager for several profit centers and their assigned chemical products. In this position I was responsible for the profit, business plans, and capital, R&D, engineering, manufacturing and environmental programs. During these assignments I became familiar with short-, intermediate-, and long-range R&D. Based on this, I believe I can bring to the Department an insight into the attitudes of the private sector in funding long-range, high-risk R&D. I experienced myself the hesitancy of business managers to spend significant funds on long-range research and development. This first-hand experience will be invaluable in helping me carry out the President's restructured Federal energy policies with their increased focus on those projects that industry is unwilling to undertake.

I also became familiar with capital projects in varying stages from initiation through completion and operation, and I gained valuable experience in managing within a matrix organization. But perhaps most importantly, I learned first hand about the impact of inflation on the costs of raw materials and construction, the enormous rise in the costs of energy and hydrocarbon feedstocks, and the need for increased energy conservation investments. This, I believe, has given me a better understanding of the importance of the President's economic recovery plan and the role that federal energy programs are intended to play in it.

Since the end of 1979 I have been Vice-President/General Manager of the Union Carbide Ethylene Oxide Derivatives division -- one of the chemical divisions created after a corporate reorganization. This experience has not only exposed me to general management practices, but also increased my experience with R&D and engineering and provided an acute awareness of energy costs. And very importantly, the reorganization experience increased my sensitivity to the impact on employees' morale and performance of a period of restructuring. During the first year of the new organization the Division officers spent time with Division personnel explaining to them the consequences and expectations from the reorganization and trying to reassure them about their futures. In light of the expected reductions in force at the Department of Energy, I intend to spend significant managerial attention and effort to ensure that the reduction is accomplished with minimum disruption and that the organization operates smoothly thereafter.

For about five years I have been a security holder of Energy Resources Co. Inc. of Cambridge, Massachusetts and from the Fall of 1979 until May 18th of this year I was a Director of the company. Energy Resources is a privately held company that had about $10 million of energy and environmental systems sales and services in 1980. The company has been operating a DOE-sponsored enhanced oil recovery project in Illinois, has several other contracts with DOE, and has sold commercial fluidized bed systems to combust hydrocarbon materials such as agricultural waste, coal, and wood residue. My children and testamentary trusts for my benefit

and my children's ultimate benefit also own securities in Energy Resources Co. Inc. and Energy Resources A.G., a Swiss company owned by essentially the same shareholders as Energy Resources Co. Inc. that provides similar services to clients outside the U.S.

I have resigned my directorship in Energy Resources Co. Inc. to reduce any possible appearance of conflict of interest during the period after the President announced his intention to nominate me and prior to my confirmation, at which time I would legally have had to resign anyway. As Assistant Secretary for Fossil Energy, I will disqualify myself from any particular matters involving Energy Resources Co. Inc. or Energy Resources A.G. I have requested a time limited waiver to allow me and the trusts to hold shares in these firms until they can be divested in a non-forced sale situation.

My involvement with Energy Resources Co. Inc. has given me a perspective that small R&D expenditures and pilot plants can justify substantial commercial investments when the external economic environment is appropriate and the technology adequately developed. Not every new technology can be developed to a commercial stage on limited resources like this company has done, but it can be done in some circumstances. One of the key roles for the Fossil Energy R&D program will be to support the R&D to the stage where the private sector will take it over. There is no textbook rule in deciding when that will happen; it will be different in every case; it will depend upon the ultimate commercial project size, complexity, uncertainties, competitive economics, and many other factors.

In structuring this R&D program, we must also recognize that there are more paths of innovation than the Government can afford to pursue. Today's economic conditions will impose tighter limits on all Government programs, and R&D, notwithstanding its worth, will have to compete. Within the framework of the Administration's economic recovery program, I would intend to be an aggressive advocate of a fundamentally strong Federal R&D effort in fossil energy. And I would intend to maintain open channels of communication with the fossil energy community and other interested groups to ensure that Federal expenditures are consistent with their perception of future needs.

Members of the Committee are aware I'm sure, that the Fossil Energy office of the Department of Energy includes many highly professional, competent, and knowledgeable personnel. I expect their high-quality work will continue to make a meaningful contribution to our nation's energy program.

In conclusion, Mr. Chairman, the reasons I am interested in being favorably considered for this position are many.

First, I have always believed that I had an obligation at some time to work for the government to pay in some measure for the benefits of an education, a safe home, and the freedom we have in this country. Many of my role models, including my father, worked at varying times for the Government. Second, I firmly believe that President Reagan's energy principles and programs are sound and I would like to assist in their development and implementation.

Third, with an increased emphasis on restoring private sector initiative in the energy field, I am convinced that it would be particularly advantageous to bring industrial experience into government.

And fourth, I believe I have the relevant skills and experiences to do the job.

I look forward with excitement and enthusiasm to working for President Reagan and Secretary Edwards and with the Committees of Congress on one of the most important goals that our country has now and will have for some time to come -- namely, the development of sufficient, economic, environmentally-acceptable fuels to support our economy and permit the nation to maintain its economic and national security, to serve its people and to fulfill its world responsibilities.

Thank you very much, and I would be pleased to try and answer your questions.

The CHAIRMAN. Thank you very much, Mr. Mares.

Senator Ford.

Senator FORD. Mr. Chairman, Mr. Mares and I had a good conversation and I am basically pleased with his comments and answers to my questions when we had an opportunity to visit in my office.

He made a statement in a portion of his opening statement where he talked about the many proposals for alternate sources of energy. And this indicates to me that somewhere along the way he foresees the possibility of making a decision on which sources have the greatest potential; others are going to have to wait a while while you make some decisions. Am I correct in the presumption I have made in your statement?

Mr. MARES. Not quite, sir. I expect to influence decisions in terms of coal, oil shale, and natural gas. That is all we have in the fossil energy.

Senator FORD. The technologies being proposed maybe is what I am getting to. There would be varying technologies that would be proposed to find synthetics?

Mr. MARES. That is part of the responsibilities. Traditional energy is fossil energy. The nontraditional is the renewables, the solar, geothermal. That type of activity which is not my responsibility. The fossil is my responsibility. It provides, as you know, the vast proportion of the energy used in this country today and will for a long time to come, and it is a very important area.

Senator FORD. You said in your statement you look forward to representing the President and working with Secretary Edwards. It seems that Secretary Edwards had a little hard time with the White House in trying to follow through on some things that be

believes are the right way to go and commitments he made. How do you see the representation of the Energy Department on the Cabinet?

Mr. MARES. I think Secretary Edwards is representing the Department very well, sir.

Senator FORD. I think the Congress organized the Energy Department and gave it a Secretary and put it in the Cabinet and expected it in represent that view, and it seems that we have got another group that will override it, particularly OMB, and I hope that you will not allow them to dent your enthusiasm.

Mr. MARES. I expect they will try, but I expect to be an enthusiastic supporter of the fossil fuel area for a long time to come, Senator.

Senator FORD. May the Lord bless you.

Mr. MARES. I hope he does, sir.

Senator MURKOWSKI. And keep you, as they say.

Senator FORD. You don't want me to start singing "Amazing Grace"?

Senator MURKOWSKI. No.

Senator FORD. We have to have a little levity or we would all go crazy here, I guess.

I think you understand my background and where I come from and how intense I am about it. I have always flown a great deal by gut reaction or gut feeling, if I can use that local term, and I see the major oil companies now buying up all the technology. I see them buying up a major portion of the coal reserves day by day, and I see them knowing that deregulation is here and short-term profits will be there and at some point when liquid is no longer coming from the ground that they will also then have the next step, which will be synthetic fuels, and I see any nonmajor oil consortium having one tremendous struggle to put their technology forward. And you will find those companies that are nonoil related, you will find that their technology which many approve will have great potential, are struggling here on this Hill. It indicates to me the vast strength of the major oil companies. So I would hope that in your tenure that you will look after those that have good technologies, that are willing to put in as much as they can. There are a lot of good ideas out there, and hopefully that we can support those good ideas as it relates to the benefits rather than who owns them and who does not.

Thank you, Mr. Chairman.

The CHAIRMAN. Senator Murkowski.

Senator MURKOWSKI. Thank you, Mr. Chairman.

Mr. Mares, with your new responsibility in the area of fossil energy, I am wondering how you would approach the scenario that may be developing whereby some of the major plants in the United States, in the Midwest, major users of natural gas, are now looking at energy from coal production as an alternative that may prove to be cheaper, whether or not we see gas deregulation; why, that is something else again. Of course, if they move away from gas for various reasons into fossil fuel, which would be generated into electricity, there is additional consideration of the pollution control costs, and, finally, the question that would arise as to the eventual balance between expansion of coal and the potential decline of gas.

Do you see yourself involved in an effort to regulate or balance this? How would you propose to go about it? Do you see it as a potential reality occurring?

Mr. MARES. The substitution of coal for natural gas?

Senator MURKOWSKI. Yes.

Mr. MARES. Yes, sir; I do expect that will happen.

Senator MURKOWSKI. And when it does happen, or assuming it does happen, how do you propose—what reasonable limits could we attain with regard to the expansion of coal-fired generation offset by the substantial cost involved in pollution control devices and the concern of the public over too much of an acceleration of this?

Mr. MARES. The——

Senator MURKOWSKI. And concern, say, of Canada over the potential acid rain problem, the environmentalists? How do you achieve a balance, or do you?

Mr. MARES. With great difficulty. As you know, the Clean Air Act is being reviewed, acid rain will be considered in this.

Senator MURKOWSKI. I am on that committee and I find that no administrator has been able to understand it.

Mr. MARES. I think that we as a nation have three things as relates to this that we are struggling with. We are struggling to improve our environment, we are struggling to improve our economy, and we are struggling to improve our energy situation, and I happen to think improving the economy and energy requires a bit more attention for some time to come than improving the environment. But by the same token, it means that for instance in fossil energy, where the budget for fiscal 1982 is about $26 million, $28 million for environmental things, it is very important that that work be done, because it is designed to reduce the amount of capital cost required to reduce effluents as well as the operating costs, because those costs are quite substantial.

In terms of acid rain, which you referred to, I think that is a situation which isn't totally understood in terms of what are the real sources, both point sources and mobile sources, the particular fuels that are in use, the transport phenomena, and until that is better understood, I would hope that we would hesitate to establish a control strategy which would require the expenditure of relatively scarce capital resources as well as operating resources, which would be not as effective in terms of the environmental point, as opposed to others that would be better after we have established that.

Senator MURKOWSKI. The Government has control more than the private sector in controlling those areas themselves. Do you see yourself involved in prioritizing the alternate energy forms that come under the fossil fuel categories in their promotion? You have got oil, you have got gas, you have got coal.

Mr. MARES. I am sorry, I don't follow the question, Senator.

Senator MURKOWSKI. Well, you are involved in fossil energy.

Mr. MARES. Right.

Senator MURKOWSKI. Total responsibility. And if you have got coal that is generating a greater market share——

Mr. MARES. Increasing market share, yes, sir.

Senator MURKOWSKI. It is an increasing market share, and you have still got oil, you have got the gas sources, how do you deter-

mine which one you are going to basically promote? Obviously the market is going to dictate——

Mr. MARES. The market dictates that.

Senator MURKOWSKI. But governmental control dictates. Obviously deregulation of gas would be a Federal action that would dictate the market.

Mr. MARES. Most of the activities of this particular office are directed toward research and development of a longer range, 40 different discreet technology packages based on the four prime materials, hoping that the private sector will pick and choose the ones that are most cost-effective at the particular moment in time. They will come to fruition at various times. There is no specific plan that says this will occur, we are going to direct ourselves so much toward a particular energy use. I think basically we are relying on the market deciding from the available technologies and resources.

Senator MURKOWSKI. I have no further questions, Mr. Chairman.

The CHAIRMAN. Mr. Mares, with just one comment, I will have no questions. I know that the administration has focused upon market solutions to the assignment of resources, but there are some other priorities that the Nation has as well, internal security, international security, reduction of dependence upon imported oil as a source of major supply for energy, and in some instances it appears to me that there is justification for stimulating production of some energy, or at least furthering the technologies for future production of energy that might now be economically or technologically marginal projects. The marketplace isn't going to do that.

Mr. MARES. Correct.

The CHAIRMAN. And if it is going to happen, it is going to happen because the Government desired it to and took some actions to see that it does happen, and I think there can be nothing more foolish and shortsighted for this Nation to do than to ignore that fact, that the private sector involvement alone may not adequately respond to the very real security and economic requirements of this Nation. So we have to be involved in a number of attempts, not only in terms of long leadtime and very expensive technology, but also in current movements on those items that we can accelerate and enhance by governmental decision.

Mr. MARES. I understand, sir.

The CHAIRMAN. Thank you very much.

Senator FORD. Let me make a statement here.

The distinguished Senator from Alaska made some good points, and I want to ask Mr. Sousa about this, and I will throw it out now so he can be thinking about it while we go to vote.

There are two generating facilities that have been granted a permit by FERC whereby they convert from oil to coal, and under this rule they are allowed to take the reduction of cost and divide it one-third to the customer—that reduction is passed on to the customer at that time—two-thirds of the reduction cost goes to pay for the conversion, and they pay out in 18 months. Now, that is converting from a foreign source of energy to a domestic source of energy, and that is, I think, the right way to go. And if both of those work, Mr. Chairman, it will be an improvement.

I also say to the distinguished Senator from Alaska, I am sure he knows more about this than I do, but we are attempting to allow 15 percent, approximately, of natural gas where they are using it, and 85 percent coal, and with that mix you meet the air standards. So where we cut back on the use of natural gas and we use an increase of coal, but the combination of the two gives you an air standard, you can meet those air standards.

So I hope Mr. Sousa, when he comes, that he will have given some thought as relates to those two FERC approvals.

This fellow is going to be all right, Mr. Chairman.

The CHAIRMAN. Mr. Mares, I think that your statement has been very satisfactory. We appreciate your answers to the questions, and you may be excused from further participation this morning. Thank you very much.

Mr. MARES. Thank you, Mr. Chairman.

[Subsequent to the hearing Mr. Mares responded to the following questions from Senator Baker:]

U.S. SENATE,
OFFICE OF THE MAJORITY LEADER,
Washington, D.C., July 28, 1981.

Hon. JAMES A. MCCLURE,
Chairman, Senate Energy and Natural Resources Committee,
Washington, D.C.

DEAR JIM: I would appreciate it if you would include in the record of the confirmation hearings for the nomination of Jan Mares as Assistant Secretary for Fossil Energy, the enclosed questions.

Sincerely,

HOWARD H. BAKER, Jr.

Enclosure.

QUESTIONS FROM SENATOR HOWARD BAKER, JR.

For the record of hearings held by Senate Committee on Energy and Natural Resources, on the nomination of Jan Mares as Assistant Secretary for Fossil Energy.

(1) Developing systems to expand and diversify the use of coal and other fossil fuels involves a number of overlapping scientific, technological, and environmental issues. Several of the National Laboratories already have strong programs for attacking such multidisciplinary problems. In what ways would you propose to increase utilization of the National Laboratories for fossil energy research and development?

(2) Materials problems seem to plague most advanced technologies, and the fossil area is not likely to be immune. Do you anticipate growth in materials R&D as DOE concentrates on fundamental research and longer-range development problems? What programs and capabilities does DOE now have at it's disposal, in the National Laboratories or elsewhere, which can be brought to bear on these problems?

(3) Achievement of adequate environmental control technology will be an important factor in establishing a substantial coal conversion industry in the United States. This would appear to be an appropriate R&D role for DOE. Do you agree, and would you expect to mount a significant environmental control technology program?

(4) In spite of the many years that coal has been extensively used around the world, much more information about coal and its behavior is needed to provide a base on which technology development programs can build. Do you expect that the Office of Fossil Energy will expand its support of work that bridges the gap between basic R&D and programs that develop new systems for coal utilization? If so, have you developed any plans to execute such a program, and could you briefly outline those plans?

Question 1. Developing systems to expand and diversify the use of coal and other fossil fuels involves a number of overlapping scientific, technological, and environmental issues. Several of the National Laboratories already have strong programs for attacking such multidisciplinary problems. In what ways would you propose to

increase utilization of the National Laboratories for fossil energy research and development?

Answer. I consider the National Laboratories to be important institutions with a variety of talents and resources that will continue to be called upon as needed to support fossil energy activities. Within resource constraints, I will continue to encourage innovation to support longer term, high risk R&D with high potential public benefit and will rely on the National Laboratories and other institutions to propose such areas for consideration.

Question 2. Materials problems seem to plague most advanced technologies, and the fossil area is not likely to be immune. Do you anticipate growth in materials R&D as DOE concentrates on fundamental research and longer-range development problems? What programs and capabilities does DOE now have at it's disposal, in the National Laboratories or elsewhere, which can be brought to bear on these problems?

Answer. Although I do not have a deep knowledge of the program, I am aware that Fossil Energy has a rather large materials program and that Oak Ridge National Laboratory is a major participant in these efforts. I believe that materials is a critical element in the Fossil Energy research and will give it high priority in my planning. I am very sensitive to the significance of a strong materials research program to a number of other fossil technology programs.

Question 3. Achievement of adequate environmental control technology will be an important factor in establishing a substantial coal conversion industry in the United States. This would appear to be an appropriate R&D role for DOE. Do you agree, and would you expect to mount a significant environmental control technology program?

Answer. Yes; I agree that there is a very appropriate R&D role for DOE in the environmental control technology area. I would like to say that the Department does have a rather significant environmental control technology program underway now. In fact, I am told that this has been one of the fastest growing activities in Fossil Energy from the budgetary point of view. I am aware that we are now requesting $26,900,000 from the Congress for the fiscal year 1982 effort.

I am well aware the direction we will have to continue to proceed in is to burn coal for a significant portion of our energy requirements. I consider the efforts in environmental control to be very important and given a further understanding of what industry is doing and plans to do on its own, I will fashion an appropriate Government program.

Question 4. In spite of the many years that coal has been extensively used around the world, much more information about coal and its behavior is needed to provide a base on which technology development programs can build. Do you expect that the Office of Fossil Energy will expand its support of work that bridges the gap between basic R&D and programs that develop new systems for coal utilization? If so, have you developed any plans to execute such a program, and could you briefly outline those plans?

Answer. I am aware that Fossil Energy has a large aggressive program in advanced research. With the reorientation of the Office of Fossil Energy to long-term, high-risk R&D, these programs assume increasing importance. It is important that a better understanding of the materials, instrumentation and control, diagnostics, and coal chemistries be available to industry to assist them in making their decisions about their own R&D developments.

The CHAIRMAN. We will stand in recess as we go to vote on a pending matter. We will be back in a few minutes.

[A short recess was taken.]

The CHAIRMAN. The committee will come to order.

Our next witness is Anthony G. Sousa, who has been nominated to be a member of the Federal Energy Regulatory Commission.

Mr. Sousa has had extensive academic and professional experience in public utility law and regulations. He is a graduate of the University of San Francisco Law School and he holds a master of laws degree in public utility regulation and antitrust law.

He has served as a rate analyst, counsel, and as administrative law judge with the California Public Utilities Commission, and he also served as an assistant to the chairman of that commission.

Since 1973 he has been vice president and general counsel of the Hawaiian Telephone Co.

It would be difficult to overstate the importance of the responsibilities Mr. Sousa will have as a member of FERC. The Commission has the responsibility for implementing the Natural Gas Act, the Natural Gas Policy Act of 1978, the Federal Power Act, and certain other statutory requirements. The Commission must deal with a wide range of financial and environmental issues, and it must also make decisions concerning the adequacy of our Nation's supplies of natural gas and electric energy.

Mr. Sousa, as you know, the rules of the committee which apply to all nominees require that they be sworn in connection with their testimony. I will ask you to rise and raise your right hand.

[Whereupon, Anthony G. Sousa was duly sworn by the chairman.]

The CHAIRMAN. Our practice requires that we get certain answers from standard questions we ask of all witnesses before the committee who are nominated for administrative positions. I would like to ask these questions of you.

Will you be available to appear before this committee and other congressional committees to represent Commission positions and respond to issues of concern to the Congress?

Mr. SOUSA. I will.

The CHAIRMAN. Your informational statement has been submitted to the committee. However, it is required that this statement be made public unless the committee decides that special circumstances justify an exception. Do you have any objection to the publication of your informational statement?

Mr. SOUSA. I have no objection.

The CHAIRMAN. Are you aware of any personal holdings, investments or interests that could constitute a conflict of interest, or create the appearance of such conflict, should you be confirmed and assume the office to which you have been nominated by the President?

Mr. SOUSA. My financial disclosure statements and other statements have been reviewed by the Ethics Counselors and I know of no conflict of interest or any other impediment.

The CHAIRMAN. Are you involved in or have you any assets held in blind trusts?

Mr. SOUSA. No, I do not.

The CHAIRMAN. Thank you. We have your statement. You may proceed.

STATEMENT OF ANTHONY G. SOUSA, NOMINEE TO BE A MEMBER OF THE FEDERAL ENERGY REGULATORY COMMISSION, DEPARTMENT OF ENERGY

Mr. SOUSA. Mr. Chairman and members of the committee. It is an honor for me to appear before you this morning as the President's nominee to be a member of the Federal Energy Regulatory Commission. I am doubly honored because I am a naturalized American citizen and you see before you an example of one who took advantage of the many opportunities in this great country of ours.

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I came to the United States in July 1958 as an immigrant and almost from the very beginning of my employment here I have been exposed to the regulatory environment. In the regulated sector, I commenced with CAB tariffs, rules and regulations at Thomas J. Lipton, Inc., and U.S. Steel Corp. I then undertook a regulatory role at the California Public Utilities Commission, from January 1968 to April 1973, where I was an administrative and legal assistant to the chairman of the commission and an administrative law judge in my last year there.

I returned to the private sector in April 1973 when I became vice president and general counsel of Hawaiian Telephone Co., in Honolulu, Hawaii, a regulated telephone utility and a subsidiary of General Telephone & Electronics Corp. In this capacity I have had more than 8 years experience in law practice before the Hawaii Public Utilities Commission and the Federal Communications Commission. While employed full-time as assistant western regional distribution manager of Thomas J. Lipton, Inc., I attended law school at night and became a lawyer. In 1973 I was awarded a master of laws degree in public utility regulation and antitrust law from the University of California Law School in Berkeley, Calif.

Although I have not been involved recently in energy matters, I dealt with those issues at the California Public Utilities Commission while regulating intrastate gas and electric companies, and was involved in the Federal Power Commission—predecessor of FERC—proceedings.

Since my nomination to be a member of FERC, I have acquainted myself with the jurisdictional responsibility of that agency and in a general manner the important issues confronting it.

I intend to make myself very knowledgeable in all that will be required of me as a Commissioner at FERC in the shortest time possible.

In summary, Mr. Chairman, I feel very strongly that my regulatory experience in the public and private sectors fully qualifies me to serve as a Commissioner at FERC.

I would be pleased to answer any questions you may have.

The CHAIRMAN. Thank you very much for your statement. I can understand the personal satisfaction you must have, being a naturalized citizen, of being selected for a position of responsibility in the Government. That is a personal satisfaction to me, too, to see people with your background have the opportunities to serve our Government in this kind of a capacity.

I have no questions and I know of no questions that the members of the committee desire to address to you. I think that the members who have met you and talked with you, as I have, are satisfied with what we have seen and what we have heard from you, and we look forward to working with you in your position. Thank you very much.

Mr. SOUSA. Thank you, Mr. Chairman.

The CHAIRMAN. Our final witness is Dr. Alvin W. Trivelpiece, who has been nominated to be Director of the Office of Energy Research in the Department of Energy. Dr. Trivelpiece has been a professor of both electric engineering and physics. He has experience in the areas of plasma physics and fusion research, and has published numerous technical papers in those areas. Since 1976 he

has served as vice president of two research firms in California, Maxwell Laboratories, Inc., and Science Applications, Inc.

During the period from 1973 to 1975, Dr. Trivelpiece served as Assistant Director of Research, Division of Controlled Thermonuclear Research, at the Atomic Energy Commission.

As Director of the Department of Energy's Office of Energy Research, he would advise the Secretary on the technical aspects of the research and development programs of the Department. He would also be responsible for administering the Department's education and training programs in basic and applied research.

As you know, Dr. Trivelpiece, we require that every nominee who appears to testify before this committee be sworn in connection with his testimony. Will you please rise and raise your right hand?

[Whereupon, Alvin W. Trivelpiece was duly sworn by the chairman.]

The CHAIRMAN. As you also know, there are certain standard questions we ask of all those who have been nominated for administrative positions, and I would like to ask these questions of you.

Will you be available to appear before this committee and other congressional committees to represent departmental positions and respond to issues of concern to the Congress?

Dr. TRIVELPIECE. Yes, Mr. Chairman, I will.

The CHAIRMAN. Your informational statement has been submitted to the committee. However, it is required that this statement be made public unless the committee decides that special circumstances justify an exception. Do you have any objection to the publication of your informational statement?

Dr. TRIVELPIECE. No, sir, I have no objection.

The CHAIRMAN. Are you aware of any personal holdings, investments or interests that could constitute a conflict of interest, or create the appearance of such a conflict, should you be confirmed and assume the office to which you have been nominated by the President?

Dr. TRIVELPIECE. Mr. Chairman, I have carefully reviewed my investments, personal holdings, and other interests with respect to any current or potential conflicts of interest. These records have also been reviewed by appropriate Government ethics counsel. Based on these actions, to the best of my knowledge, there are no conflicts of interest, real or apparent.

The CHAIRMAN. Are you involved in or do you have any assets held in blind trusts?

Dr. TRIVELPIECE. No, Mr. Chairman.

The CHAIRMAN. During the last 5 years, while you were employed by private corporations, did you personally participate in any Department of Energy proceedings?

Dr. TRIVELPIECE. I believe there is only one activity to which this question applies. I served as the scientific advisor on a committee that was involved in the gyrotron research and development program. I have since taken steps to extricate myself from that activity and am no longer involved.

The CHAIRMAN. There is nothing of any nature that continues from that association?

Dr. TRIVELPIECE. No, sir.

The CHAIRMAN. Is it your intention during the next year to refrain from participating in any DOE proceeding in which your most recent former employer, Science Applications, Inc., is substantially, directly, or materially involved?

Dr. TRIVELPIECE. Yes, Mr. Chairman, that is my intention.

The CHAIRMAN. Thank you very much. We have your statement together with the supporting documents, all of which are before the committee. You may proceed.

STATEMENT OF DR. ALVIN W. TRIVELPIECE, NOMINEE TO BE DIRECTOR, OFFICE OF ENERGY RESEARCH, DEPARTMENT OF ENERGY

Dr. TRIVELPIECE. Mr. Chairman and distinguished members of the committee, I am honored to appear before you as President Reagan's nominee to be Director of the Office of Energy Research in the Department of Energy.

The principal duties and responsibilities of this Office can be grouped into two main categories. One category includes the activities associated with the statutory responsibility to advise the Secretary of Energy on various technical aspects of the research and development programs that the Department manages, as well as the responsibility to oversee the administrative well-being and management of the Department's multipurpose laboratories, excluding the nuclear weapons laboratories. The other main category includes those activities associated with the management of and accountability for comprehensive programs of research and development funded through the Office of Energy Research.

The principal programs managed through the Office of Energy Research include high-energy physics, nuclear physics, basic energy sciences, magnetic fusion energy, university and education programs, and health and environmental research. These programs constitute an impressive collection of activities that involve outstanding scientists and engineers all across the country whose skills span many basic and applied disciplines.

Taken together, these programs and the individuals in them constitute a significant and vital national resource. As such, they need to be supported, guided and managed so that useful and effective progress can be made in each program. The national laboratories, universities, and industries that participate in and support these programs have important and cooperative roles to play in this scientific and technical enterprise. These roles need to be coordinated so that each of these institutional entities are engaged in the activities that take best advantage of their respective strengths and unique features.

It is my conviction that the Department of Energy has a significant role to play in the process of helping the United States develop and maintain an adequate supply of energy that can be delivered in appropriate and acceptable forms to meet our present and future needs. Such an energy supply is an essential element for a healthy economy and a secure defense system.

As Director of the Office of Energy Research, I would dedicate myself to attaining the important national goals and objectives of the Department of Energy. I am eagerly looking forward to the

tasks and challenges associated with this important responsibility. Thank you.

The CHAIRMAN. Thank you very much for your statement.

I have reviewed your financial statements and other documents in connection with them. I have no further questions, and I know of no questions by any members of the committee to you this morning.

It is a pleasure to have you here this morning. Thank you very much.

Dr. TRIVELPIECE. Thank you, Mr. Chairman.

The CHAIRMAN. I might announce that I know of no question or objection with respect to any of the nominees. I will inquire of members of the committee if they would agree with me that we try to get reports of each of the nominees so that they can be acted on by the full Senate prior to the recess, which we hope will begin at the end of next week. I say we hope, because we don't know. I would want the committee members and the staff and others to be aware of my attempt to do that, so that if indeed there are any reasons to delay or to avoid expediting this I can be informed.

With that, the committee will adjourn.

[Whereupon, at 11:35 a.m., the hearing was adjourned.]

APPENDIX

Informational Statements of J. Robin West, Jan W. Mares, Anthony G. Sousa, and Alvin W. Trivelpiece

J. Robinson West

Date of Birth:	September 16, 1946
Office Address:	Room 5100, Main Interior Building 18th and C Streets, N.W. Washington, D.C. 20240 (202) 343-6181
Home Address:	Mill Road Unionville, Pennsylvania 19375 (215) 444-1523
Washington Address:	3335 Reservoir Road Washington, D.C. 20007
Education:	
1964-1968	University of North Carolina, Chapel Hill, North Carolina B.A., Political Science, 1968; Dean's List, Advanced Standing.
1970-1973	Temple University Law School, Philadelphia, Pennsylvania J.D., 1973. Admitted to practice before the Supreme Court of Pennsylvania. Law Clerk, Court of Common Pleas.
Work Experience:	
1981-Present	Staff, Office of the Secretary of the Interior (Awaiting nomination)
1980-1981	Transition Staff
1980	Private Consulting and Investments
1978-1980	First Vice President (Partner), Corporate Finance Department, Blyth Eastman Dillon & Co. Incorporated. Participated in general corporate finance activities for a large investment banking firm, including financings, mergers and acquisitions, etc. Also active in securities industry matters.
1977-1978	Vice President and Assistant to the Chairman, Blyth Eastman Dillon & Co. Incorporated. Involved with all operations including planning, management, public and government affairs. Reorganized international operations. Member, 12 member operating committee of the firm.

1976-1977

Deputy Assistant Secretary of Defense for International Economic Affairs (OASD/ISA). Served as the senior official responsible for international economic matters of importance to the Department of Defense. This included oversight of issues relating to East-West Trade, energy and natural resources policy, debt arrearages, US-USSR economic leverage, NATO burdensharing, DOD international financial arrangements, etc. Also, directed DOD operations in the field of technology transfer and strategic trade, munitions and export control and foreign disclosure, which involved the commercial movement of highly sophisticated technological equipment to the Soviet Bloc and PRC. Represented the Department of Defense on International Monetary and Financial Policy Committee, Special Trade Representative Policy Committee, and the President's Inter-agency Committee on Export Expansion. Attended NATO Ministerial Conference, 1976. Member, Defense Energy Policy Council. Received Secretary of Defense Medal for Outstanding Civilian Public Service.

1976

Assistant to the Secretary and Deputy Secretaries of Defense. Principal Assistant to the Secretary -- responsible for the recruitment, organization and management of senior civilian appointees within the Department of Defense. At the direction of the Secretary, managed the Management by Objectives program. Reviewed aspects of performance, operations, and management of numerous programs, including foreign military sales; strategic sales and technology transfer; NATO standardization; joint production and consolidation; PPBS and PBD process; Naval shipbuilding; weapons acquisition. Managed Presidential Management Initiatives Programs, with the Office of Management and Budget and senior DOD officials. Responsible for liaison with outside groups; handled sensitive internal matters for the Secretary and Deputy Secretaries.

1974-1976	Associate Director (National Security), Presidential Personnel Office, The White House. Originally responsible for coordinating all appointments, including policy considerations, to high level commissions including the President's Foreign Intelligence Advisory Board, the General Advisory Committee on Trade Negotiations, etc. Assumed staff responsibility for all Presidential appointments in the National Security and Natural Resources area, including Departments of State, Defense, Justice, Interior, AID, USIA, ASDA, CIA, Export-Import Bank, and other related agencies. Coordinated personnel management and related policy questions on numerous issues with senior level officials in the White House, National Security Council and Executive Departments. A partial list of issues include Law of the Sea, MBFR, energy, foreign economic policy, trade, diplomatic relations.
1969-1970	Assistant to the President, McClaughry Associates, Washington, D.C.
1968-1969	Presidential Transition Office, the White House Washington, D.C.

General Activities

1979	Appointed jointly by the Secretary of Commerce and the Special Trade Representative to the 20-member Industry Policy Advisory Committee on the Multilateral Trade Negotiations.
1977	Appointed by the President to the National Advisory Commission on Oceans and Atmosphere. Member of Panels on Law of the Sea, International Organization, and Merchant Marine.
1974	Selected as one of the Ten Outstanding Young Men in Pennsylvania.

Currently: Associate, Lehrman Institute and Member of National Security Group; Member of Ameri an Oceanic Organization, Council on Foreign Relations, U.S. Naval Institute, Philadelphia Committee on Foreign Relations, Tri-County Conservancy of The Brandywine, Philadelphia Museum of Art, Museum of Modern Art, Philadelphia Athenaeum.

Formerly: Member, 1979 NATO Group-Council on Foreign Relations; Appointed by the Secretary of HEW to the National Advisory Committee on the Handicapped; Elected a Member and Secretary -- Chester County Government Study Commission, Trustee -- United Fund of Greater Philadelphia, Director -- Pennsylvania Economy League, Director -- Health and Welfare Council of Chester County.

UNITED STATES SENATE
COMMITTEE ON ENERGY AND NATURAL RESOURCES

STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

Name: West (LAST) John (FIRST) Robinson (OTHER)

Position to which nominated: Assistant Secretary of Interior--Policy, Budget and Administration

Date of nomination:

Date of birth: 16 (DAY) Sept (MONTH) 1946 (YEAR) Place of birth: Bryn Mawr, Pennsylvania

Marital status: Single Full name of spouse: N/A

Name and ages of children: N/A

Education:

Institution	Dates attended	Degrees received	Dates of degrees
University of North Carolina	1964-1968	B.A.	Jan, 1968
Temple University Law School	1970-1973	J.D.	May, 1973

Employment record: List below all positions held since college, including the title and description of job, name of employer, location, and dates.

1980 - Private Consultant & Personal Investments, New York
1978-1980 - First Vice President, Blyth Eastman Dillon & Co, Inc. New York (Investment Bankers)
1977 - Vice President, Blyth Eastman Dillon & Co.
1976-1977 - Deputy Assistant Secretary of Defense for International Economic Affairs, Washington, D.C.
1976 - Assistant to the Secretary & Deputy Secretary of Defense, Washington, D.C.
1974-1976 - Associate Director, Presidential Personnel Office, The White House
1973-1974 - Candidate for Congress (Pennsylvania - 5th)
1969-1970 - Assistant to the Chairman, McClaughry Associates (Consultants), Washington, D.C.
1968-1969 - President-Elect and White House Transition Staff
1968 - Staff, Republican National Committee, Washington, D.C.

Employment record—Continued

Military service: Enter all military service if not included above: service, dates, rank, type of discharge.

Summer 1965 - U.S.M.C. - Platoon Leaders Class. Discharged for medical reasons.

Honors and awards: List below all scholarships, fellowships, honorary degrees, military medals, honorary society memberships, and any other special recognitions for outstanding service or achievement.

Secretary of Defense Medal for Outstanding Civilian Public Service

1974 - One of the Ten Outstanding Young Men in Pennsylvania

Memberships: List below all memberships and offices held in professional, fraternal, business, scholarly, civic, charitable and other organizations.

Organization	Office held (if any)	Dates
Lehrman Institute	Associate	1978 -
International Institute of Strategic Studies (London)		1978 -
TriCounty Conservancy		1971 -
Council on Foreign Relations		1977 -
Chester County Gov't Study Comm.	Secretary	1972 - 1973
Phila. United Fund	Trustee	1972 - 1974
Health & Welfare Council of Chester County	Director	1971 - 1974
National Advisory Cmte on Oceans and Atmosphere - Dept. of Commerce		1977
Industry Policy Advisory Cmte on Multi-Lateral Trade Negotiations (STR)		1978 - 1979
National Advisory Cmte on Handicapped Children (HEW)		1970 - 1971

Published writings: List the titles, publishers and dates of any books, articles, or reports you have written.

Qualifications: State fully your qualifications to serve in the position to which you have been named. (attach sheet)

Future employment relationships:

1. Indicate whether you will sever all connections with your present employer, business firm, association or organization if you are confirmed by the Senate.

Yes

2. As far as can be foreseen, state whether you have any plans after completing government service to resume employment, affiliation or practice with your current or any previous employer, business firm, association or organization.

None

3. Has anybody made you a commitment to a job after you leave government?

No

4. (a) If you have been appointed for a fixed term, do you expect to serve the full term?

n/a

(b) If you have been appointed for an indefinite term, do you have any known limitations on your willingness or ability to serve for the foreseeable future?

No

Potential conflicts of interest:

1. Describe any financial arrangements or deferred compensation agreements or other continuing dealings with business associates, clients or customers who will be affected by policies which you will influence in the position to which you have been nominated.

None

2. List any investments, obligations, liabilities, or other relationships which might involve potential conflicts of interest with the position to which you have been nominated.

Please see June 17 memorandum (Attachment A). Any securities presenting a potential conflict will be sold.

Qualifications to serve in the position to which I've been nominated:
(page 4)

The position of Assistant Secretary of the Interior for Policy, Budget and Administration requires an understanding of government, finance and public policy. I hold a Bachelor of Arts degree in political science, and a Juris Doctor degree in law. Both of these degrees provide valuable insight into the nature of government and the law under which it functions. Having served as a member of the White House staff, Assistant to the Secretary and Deputy Assistant Secretary of Defense, I have been given unusual experience in the organization and operations of government, and specifically the Executive Branch. I have been directly involved in the planning and budget process.

While I served as an executive of an investiment banking firm, I was actively involved in matters of finance, providing further valuable experience for the responsibilities of the position of Assistant Secretary, PBA.

Finally, I have always been concerned with issues of natural resources, land use and conservation. I have been active in community affairs concerned with these issues, and I was appointed by the President to the National Advisory Committee on Ocean and Atmosphere.

3. Describe any business relationship, dealing or financial transaction (other than tax-paying) which you have had during the last 10 years with the Federal Government, whether for yourself or relatives, on behalf of a client, or acting as an agent, that might in any way constitute or result in a possible conflict of interest with the position to which you have been nominated.

None

4. List and describe any lobbying activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation at the national level of government or for the purpose of affecting the administration and execution of national law or public policy.

None

5. Explain how you will resolve any potential conflict of interest that may be disclosed by your responses to the above items.

Please see Attachment "A". Any securities which potentially conflict with the responsibilities of this position will be sold.

6. Explain how you will comply with conflict of interest laws and regulations applicable to the position for which you have been nominated. Attach a statement from the appropriate agency official indicating what those laws and regulations are and how you will comply with them.

Please see Attachment "A". Any securities which potentially conflict with the responsibilities of this position will be sold.

United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

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JUN 17 1981

Memorandum

To: Director, Office of Government Ethics

From: Designated Agency Ethics Official

Subject: Opinion Memorandum for J. Robinson West, Nominee for Assistant Secretary - Policy, Budget and Administration (PBA) U.S. Department of the Interior

The financial statement filed by Mr. West has been reviewed in accordance with the provisions contained in 5 CFR 734.604(a).

My certification is based on the following analysis of Mr. West's financial interests.

(1) Financial interests in Houston Oil and Minerals Company, Pacific Gas Transmission Company, Freeport Minerals Company, McMoran Oil and Gas Company, Pogo Producing Company and W.R. Grace and Company:

Four statutory prohibitions are extended by departmental regulations (43 CFR 20.735-13(c)) to the Assistant Secretary - Policy, Budget and Administration (PBA) and to other secretarial officers. The four statutory prohibitions are:

(a) 30 U.S.C. Section 6, covering the Director and members of the Bureau of Mines,

(b) 43 U.S.C. Section 11, covering the Director and members of the Bureau of Land Management,

(c) 43 U.S.C. Section 31(a), covering the Director and members the U.S. Geological Survey, and

(d) 18 U.S.C. Section 437, covering all employees in Indian Affairs.

This regulatory extension is made to encompass those department level officials who may exercise supervision over or influence decisions made by employees and officials in each of the affected bureaus. As Assistant Secretary - PBA, Mr. West will have broad administrative responsibilities, control, and authority, over each of the bureaus and offices within the Department of the Interior.

The financial interests that he holds in the companies listed are subject to the prohibitions set forth in 43 U.S.C. Section 11 and 43 U.S.C. Section 31(a). These companies and their subsidiaries

COPY FOR THE SECRETARY'S OFFICE

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conduct extensive operations on federal lands leased from the Department of the Interior. Each of these companies lease vast amounts of federal land from the Department and their operations on federal lands result in significant business-related interests in the policies and administration of this department.

In addition to the statutory and the regulatory provisions cited above, all Department of the Interior employees are prohibited by provisions contained in Executive Order 11222 from having direct or indirect financial interests that conflict or appear to conflict substantially with their official duties or responsibilities. See 43 CFR Section 20.735-15. As Assistant Secretary - PBA, Mr. West will be called upon to make administrative policy and budget decisions which may directly or indirectly affect each of these companies. Given his substantial interests in each company and his broad offical duties as Assistant Secretary - PBA, I have concluded that retention of these financial interests would result in a substantial conflict of interest.

Mr. West has verbally agreed to divest himself of these six securities within a reasonable time after his confirmation by the Senate. Evidence of such divestiture will be made a part of our official file.

(2) Sabine Corporation, Pennsylvania-Virginia Corporation and Union Pacific Corporations:

Statutory prohibitions contained in 30 U.S.C.A. 1211(f) prohibit any federal employee who performs functions or duties under the Surface Mining Control and Reclamation Act of 1977 (the Act) from retaining financial interests in surface or underground coal mining operations. As Assistant Secretary - PBA, Mr. West will be subject to this prohibition since his position will require him to perform important functions and duties under the authorities of the Act. Under provisions of the Act and of the implementing regulations contained in 30 CFR 706.3, it will be necessary for Mr. West to sell the financial interests he holds in Sabine Corporation, Pennsylvania-Virginia Corporation and Union Pacific Corporation. Each of these companies conducts large coal mining operations.

Mr. West has verbally agreed to divest himself of these three securities within a reasonable time after his confirmation by the Senate. Evidence of such divestiture will be made a part of our official file.

(3) American Management Systems Company and Modular Computer Systems Company:

The prohibition in 43 CFR Section 20.735-15 which prohibits the holding of direct or indirect financial interests that conflict or appear to conflict substantially with ones duties, is based upon Executive Order 11222, 30 FR 6469, 3 CFR 1964-65 (Comp.), as amended (18U.S.C. 201 note).

This provision is important in relationship to these two financial interests. The American Management Systems Company and the Modular Computer Systems Company have contracts with the United States Geological Survey to provide automatic data processing equipment and services to that bureau. As Assistant Secretary - PBA, it is unlikely that Mr. West will become involved in any way with these contracts or with negotiations between the Department and either of the companies. Therefore, I have determined that it will not be necessary for Mr. West to divest himself of the financial interests he holds in these two companies. However, I have recommended to Mr. West that upon confirmation, he inform those individuals on his staff who are responsible for approving data processing contracts that they are not to contact him or request his guidance concerning the contracts between this department and the American Management Systems Company or Modular Computer Systems Company.

Mr. West has agreed to issue those instructions and to recuse himself from any particular matter involving either company, which may inadvertently come before him.

Our review of the other financial securities and other real estate and investment ventures reported by Mr. West reveals that there are no other problems created by his retention of these interests. Based on this analysis of the information provided and on Mr. West's promise to divest himself of the interests prohibited by applicable laws and regulations, I have signed his financial disclosure form.

Should you have further questions concerning the report submitted by Mr. West please call the Deputy Agency Ethics Official, Gabriele J. Paone, at 343-3932.

(sgd) Richard R. Hite

Richard R. Hite

Attachment

cc: OEOB
Mr. West
Mr. Rabb
PBA
Chron
✓File

PBA:GPAONE:ml:3393X:11/June/81

Financial statement:

1. Attach a copy of your Executive Personnel Financial Disclosure Report (SF 278).

2. List sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services and firm memberships or from former employers, clients, and customers. Amounts should be indicated by the categories established for reporting income on Form SF 278, Schedule A.

None.

3. Are any assets pledged? (Add schedule.)

Personal Demand Note to Lafer Amster (See Form 278, page 12 and see attachment D)

4. Are you currently a party to any legal action?

No.

5. Have you ever declared bankruptcy?

No.

6. Have you filed a Federal income tax return for each of the last 10 years? If not, please explain.

Yes.

7. Has the Internal Revenue Service ever audited your Federal tax return? If so, what resulted from the audit?

Yes - 1978 - No Action.

United States of America
Office of
Government Ethics

Office of Personnel Management
Washington, D.C. 20415

JUL 2 1981

Honorable James A. McClure
Chairman, Committee on Energy
and Natural Resources
United States Senate
Washington, D. C. 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by J. Robinson West, who has been nominated by President Reagan for the position of Assistant Secretary - Policy, Budget and Administration at the Department of Interior.

We have reviewed the report and have also obtained advice from the Department of Interior concerning any possible conflict in light of the Department's functions and the nominee's proposed duties. We understand that Mr. West has agreed to the divestment of certain securities indicated on the financial disclosure report, and to recuse himself from any particular matters involving the American Management Systems and the Modular Computer Systems Companies. Based thereon, we believe Mr. West is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

J. Jackson Walter
Director

Enclosure

SF 278 (Rev. 7-87)
Title 5 Code of Federal Regulations
U.S. Office of Personnel Management

FINANCIAL DISCLOSURE REPORT

Form Approved (OMB No. 3209-0013)

Reporting Status (Check Appropriate Box)

☐ Incumbent ☒ New Entrant, Nominee, or Candidate ☐ Termination Report

NOTE
All schedules must be filed. Enter "None" in areas or across schedules where appropriate.

Agency Use Only	OGE Use Only
Date of Filing (Month, Day, Year)	

	Last Name	First Name and Middle Initial
Reporting Individual's Name	WEST	JOHN R.
Position for Which Filing	Title of Position: Assistant Secretary-Policy, Budget and Administration	Department or Agency (If Applicable): Department of the Interior
Location of Present Office	Address (Number, Street, City, State and Zip Code): 18th & C Streets NW, Washington, D. C. 20240	Room Number: 5100

Date of Appointment, Candidacy, Election or Nomination (Mo., Day, Yr.)	Termination Date (Month, Day, Year) (If Applicable)

Telephone No. (Include Area Code): 202-343-6181

Presidential Nominees Subject to Senate Confirmation

Name of Congressional Committee Considering Nomination: Energy and Natural Resources

Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☐ No

Position(s) Held With the Federal Government During the Preceding 12 Months (If Not Same as Above)

Title of Position(s) and Date(s) Held: NONE

Certification

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: [signature] Date (Month, Day, Year): 1/31/81

Agency Ethics Official's Certification

The information contained in this report discloses no conflict of interest under applicable laws and regulations.

Signature of Designated Agency Ethics Official: [signature] Date (Month, Day, Year): June 17, 1981

Office of Government Ethics Use Only ➡

Signature: Date (Month, Day, Year):

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

See attached sheets for clarifying information.

(Check box if comments are continued on the reverse side) ☐

SF 278 Financial Disclosure Report, Schedule A
(Rev. 6/80)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child, which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, part or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

Page Number ► 2 — Schedule A

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Spouse (S) or Dependent Child (DC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests in Property: Valuation of Assets (✓)						
		Dividends	Rent	Interest	Capital Gains	Royalty or Lic.	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	Over $250,000	Actual Amount (Only if "Other" Specified)	Date (Mo. Day, Yr.) (Only if Honoraria)	Value Method	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	Over $250,000
	Blyth Eastman Dillon & Co.							Salary & bonus											10,000							
	Nitze Stagen, 610-5th Ave., NYC Rm 605							Consultant Services											30,000							
	A. P. Treadwell, Enterprises 2/		No income for 1980.																	C			X			
	Lafer & Aaster (limited partnership) 3/		No income for 1980.																	H					X	
	Lincoln Associates, 4156 Avenue NE Bellevue, Washington 98004 4/		No income for 1980.																	C			X			
	Peachtree-Harris Co. 5/ 233 Peachtree St.NE, Atlanta, GA		No income for 1980.																	C			X			

1/ Comp. for services through January 1980.

2/ Located at 14 E. 9th Street, New York, NY (Publishing venture).

3/ Private Brokerage Firm, 551-5th Avenue, NYC

4/ This is a 4 percent limited partnership interest in a residential apartment building.

5/ This is a .05 percent limited partnership interest in an office building.

278-104

SF 278 - Financial Disclosure Report, Schedule A
(Rev. 6/95)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is the trust an "excepted" trust?		
or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

Page Number ►	3	Schedule A

Reporting Individual's Name
J. Robinson West

Agency Use Only
Date of Filing (Month, Day, Year)

Schedule (S) of Dependent Child (DC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests in Property: Valuation of Assets (✓)							
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000	Actual Amount Only if "Other" Specified	Date (Mo., Day, Yr.) Only if Honoraria	Valuation Method	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000
	U. S. Treasury Bills			X									X							H				X			
	Dreyfus Liquid Assets, Inc.			X						X										H	X						
	Land Resources Corp.			X						X										H		X					
	United Technologies Corp.	X									X									H				X			
	Houston Oil & Minerals	X								X										H				X			
	Intel Corp.	X							X											H				X			

SF 278—Financial Disclosure Report, Schedule A
(Rev. 6/88)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust?		
or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

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Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Spouse (S) or Dependent Child (DC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests in Property: Valuation of Assets (✓)							
		Salary	Fees	Rents	Royalties	Interest	Dividends	Other (Specify)	None or Less than $201	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	Over $100,000	Actual Amount Only if "Other" Specified	Date (Mo., Day, Yr.) Only if Honoraria	Type of Asset Held	$1,001-$15,000	$15,001-$50,000	$50,001-$250,000	$250,001-$1,000,000	$1,000,001-$2,500,000	Over $2,500,000
	Rouse Co.	X								X									H				X			
	Sabine Corp.	X								X									H				X			
	Mallinckrodt	X								X									H			X				
	Hathaway Instruments Inc.	X								X									H		X					
	Teradyne Inc.	X							X										H		X					
	Alexander & Alexander Ser. Inc.	X								X									H				X			
	Ohio Casuality Corp.	X								X									H				X			
	Handy & Harmon	X								X									H				X			
	Pacific Gas Transmission	X								X									H				X			
	American Mgmt. Systems Inc.	X							X										H	X						
	Atlantic Financial Corp.	X							X										H		X					
	Bethesda Research Labs.	X							X										H				X			
	Cray Research Inc.	X							X																	

SF 278 – Financial Disclosure Report, Schedule A
Rev. 1/95

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted trust" ☐ ☐ or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

Page Number	5	Schedule A

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Schedule A or B Organization Code	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	Income: Category of Amount or Value (✓) None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	Over $100,000	Actual Amount (Only if "Other" Specified)	Date (Mo., Day, Yr.) (Only if Honoraria)	Interests in Property: Valuation of Assets (✓) Valuation Method	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	Over $1,000,000
	Freeport Minerals Co.	X								X									H			X				
	Lee Enterprises Inc.	X								X									H		X					
	MacDermid Inc.	X								X									H		X					
	McMoran Oil and Gas Co.	X								X									H				X			
	Modular Computer Systems, Inc.	X							X										H			X				
	Penn Virginia Corp.	X								X									H			X				
	Pogo Producing Co.	X								X									H			X				
	Progressive Corp (Ohio)	X								X									H			X				
	Ransburg Corp	X								X									H			X				
	Sigma Aldrich Corp	X								X									H			X				
	Spectra Physics Inc.	X							X										H			X				
	Terra Chemicals Intl, Inc.	X								X									H			X				
	Union Pacific Corp.	X									X								H				X			
	W.R. Grace & Co.	X									X								H			X				

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OF 278 - Financial Disclosure Report, Schedule A
(Rev. 5/80)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust or "qualified" trust?		

Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you? — No: X

If "yes", do you certify to the following?
1. They represent solely your spouse's or dependent child's financial interest or responsibility;
2. They are not, in any way, past or present, derived from your income, assets, or activities;
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and
4. You do not have knowledge as to the composition of such interests or liabilities?

Page Number 6 — Schedule A

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Identification	Income: Type of Income	Income: Category of Amount or Value	Interests in Property: Valuation of Assets
NOTE: THE FOLLOWING SECURITIES WERE SOLD DURING 1980			
Lanier Business Products	Dividends: X	None or less than $201: X	H: X
Chemed Corp.	Dividends: X	$1,001 - $2,500: X	H: X
Teck LTD	(No income for 1980)	$2,501 - $5,000: X	H: X
MacDermid, Inc.	Dividends: X	$1,001 - $2,500: X	H: X
Milton Bradley	Dividends: X	$1,001 - $2,500: X	H: X
Milton Bradley	Capital Gains: X	$1,001 - $2,500: X	H: X
Pennzoil Financial Inc.	Dividends: X	None or less than $201: X	H: X
Pennzoil Financial Inc.	Capital Gains: X	$5,001 - $15,000: X	H: X
Webb (Del E) Corp.	Dividends: X	None or less than $201: X	H: X
Pittston Corp.	Dividends: X	$1,001 - $2,500: X	H: X
Pittston Corp.	Capital Gains: X	$5,001 - $15,000: X	H: X
Southwest Forest Ind., Inc.	Dividends: X	$1,001 - $2,500: X	H: X
Southwest Forest Ind., Inc.	Capital Gains: X	$1,001 - $2,500: X	H: X

278-1(b)

SF 278—Financial Disclosure Report, Schedule A
(For Calendar Year 1988)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust?		or "qualified" trust?

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

Page Number	7	Schedule A

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)									Interests in Property: Valuation of Assets (✓)						
	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000	Actual Amount (Only if "Other" Specified)	Date (Mo., Day, Yr.) (Only if Honoraria)	Valuation Method	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000
Marshall Field & Co.	X								X										H			X				
Lawson Products Inc.	X								X										H			X				
SFN COS Inc.	X								X										H			X				
SFN COS Inc.				X						X									H			X				
Bow Valley Ind., LTD	X							X											H				X			
Bow Valley Ind., LTD				X								X							H				X			
Stoner Broadcasting Co.	X								X										H			X				
Stoner Broadcasting Co.				X						X									H			X				
C&K Pete Inc.	X							X											H				X			
C&K Pete Inc.				X					X										H				X			
Gen ad Inc.				X					X										H			X				
Bob Evans Farms	X								X										H				X			
Bob Evans Farms				X							X								H				X			
Tenneco				X									X						H				X			

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SF 278—Financial Disclosure Report, Schedule A
(Rev. 4/88)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		X
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust?		
or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and		
4. You do not have knowledge as to the composition of such interests or liabilities?		

Page Number ► 8 | Schedule A

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Spouse (S) or Dependent Child (DC)	Identification	Income: Type of Income (see instructions)							Income: Category of Amount or Value (see instructions)										Interests in Property: Valuation of Assets (see instructions)						
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	Over $100,000	Actual Amount	Only if "Other" Specified	Date (Mo., Day, Yr.) Only if Honoraria	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	Over $500,000
	Philip Morris Inc.	X								X										H		X				
	Philip Morris Inc.				X								X							H		X				
	United Technologies	X										X								H			X			
	United Technologies				X									X						H			X			
	Engelhard Ind.	X								X										H			X			
	Engelhard Ind.				X								X							H			X			
	Archer Daniels Midland Corp.	X							X											H			X			
	Archer Daniels Midland Corp.				X								X							H			X			
	Entex Inc.	X								X										H			X			
	Entex Inc.				X							X								H			X			
	McMoran Oil & Gas	X								X										H		X				
	McMoran Oil & Gas				X								X							H		X				
	Dauphin County Ind. Dev.	(No income for 1980)																		H			X			
	Masonite Corp.	X								X										H			X			

SF 278 – Part of Disclosure Report, Schedule A
(Rev. Aug.)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?.....		X
If "yes", have you reported the income from the trust?.....		
If "yes", do you [illegible] of the trust?.....		
If "yes", is this an "excepted" trust? ... or "qualified" trust?.....		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?..		X
If "yes", do you certify to the following?		
1. They represent solely your spouse's or dependent child's financial interest or responsibility;		
2. They are not, in any way, past or present, derived from your income, assets, or activities;		
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4. If you do not have knowledge as to the composition of such interests or liabilities?		

Page Number	9	Schedule A
Reporting Individual's Name: J. Robinson West		
Agency Use Only		
Date of Filing (Month, Day, Year)		

Asset or Org. (Owner's Code if any)	Identification	Income: Type of Income							Income: Category of Amount or Value										Interests in Property: Valuation of Assets						
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000	Actual Amount (Only if "Other" Specified)	Date (Mo., Day, Yr.) (Only if Honoraria)	Valuation Method	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000
	Masonite Corp.,				X						X									H			X				
	Plantronics	X							X											H		X					
	Plantronics				X					X										H		X					
	ASARCO Inc.	X								X										H			X				
	ASARCO Inc.				X							X								H			X				
	Bangar Punta	X								X										H			X				
	Bangar Punta				X							X								H			X				
	Crown Zellerbach	X								X										H			X				
	Crown Zellerbach				X						X									H			X				

SF 278 Financial Disclosure Report
(Rev. 6/90)

PURCHASES, SALES, AND EXCHANGES

Page Number	10	Schedule B

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

Report Applicable Transactions, Even if Also Reported on Schedule A

S or DC	Identification of Property	Type of Transaction: Purchase	Sale	Exchange	Date (Month, Day, Year): Purchase	Sale or Exchange	Category of Amount or Value ( ): $1,001 to $15,000	$15,001 to $50,000	$50,001 to $100,000	$100,001 to $250,000	Over $250,000
	NOT APPLICABLE										

GIFTS AND REIMBURSEMENTS

Page Number	11	Schedule C

Reporting Individual's Name: J. Robinson West

Agency Use Only

Date of Filing (Month, Day, Year)

I. Lodging, Transportation, Food and Entertainment—*List each source totaling $250 or more in value*

Sec IC	Source (Name and Address)	Brief Description	Approximate Value If Known
	NOT APPLICABLE		

II—All Other Gifts—*List each source totaling $100 or more in value*

Sec IC	Source (Name and Address)	Brief Description	Value
	NOT APPLICABLE		

III Reimbursements—*List each source totaling $250 or more in value*

Sec IC	Source (Name and Address)	Brief Description	Approximate Value If Known
	NOT APPLICABLE		

Reporting Individual's Name	Agency Use Only	Page Number		Schedule
J. Robinson West	Date of Filing (Month, Day, Year)	12		D

LIABILITIES

S or DC	Name and Address of Creditor	Type of Liability (e.g., promissory note, margin account) Give date, interest rate and, if applicable, term	Category of Amount or Value ($10,001 to $15,000)	($15,001 to $50,000)	($50,001 to $100,000)	($100,001 to $250,000)	(Over $250,000)
	Lafer & Amster, 551-5th Avenue, NY., NY	Demand Note, Personal, Brokers Loan Rate (Floating)				X	

POSITIONS HELD

Name and Address of Organization	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
TMM, Inc., 14 E. 90th Street, New York, NY	Publishing	Private Consultant	August 1979	January 1981
Knowlton Brothers Co., P.O. Box 7007, 105 W. 45th St, Chattanooga, TN	Industrial Papers	Director	September 1979	Present
Blyth Eastman Dillon & Co. 1221 Avenue of the Americas, NY, NY	Corporate Finance	Partner (1st Vice President)	April 1977	January 1980
Nitze Stagen, 610-5th Ave., NYC, NY Rm 605	Consulting	Consultant	March 1980	August 1980

COMPENSATION IN EXCESS OF $5,000 PAID BY ONE SOURCE

Source (Name and Address)	Brief Description of Duties
Nitze Stagen, 610-5th Ave., NY, NY Rm 605	Consultant
TMM, Inc.	Discussions with investors.
Knowlton Brothers Co.	Function of oversight of operations and finance.
Blyth Eastman Dillon & Co.	Participated in general corporate finance activities for a large investment banking firm, including financings, mergers and acquisitions, etc. Also active in securities industry matters.

RELATIONS WITH OTHER EMPLOYERS

Description of Terms of Any Agreement or Arrangement	Parties	Date (Mo., Day, Yr.)
NONE		

Clarifying information:

(1) Blyth Eastman Dillon & Company, 1221 Avenue of the Americas, New York, New York 10020, is a large investment banking firm. Mr. West's annual salary from Blyth Eastman was $65,000. The $10,000 reported income is salary and bonus for January 1980 which was his last month with the firm.

(2) Nitze Stagen, 610 - 5th Avenue, N.Y., N.Y., is a consulting firm. The firm has no business with the Department of the Interior.

(3) A. F. Treadwell Enterprises (TMM), 14 E 90th St., N.Y., N.Y., is a publishing firm starting a magazine tied to cable television. Mr. West resigned his consultant position with TMM in January 1981 but continues to have a financial interest in the enterprise.

(4) Lafer & Amster, 551 - 5th Avenue, N.Y., N.Y., is a private brokerage firm. Mr. West has a limited partnership interest in the firm. He is not involved in the operations of the firm nor does he have knowledge of the firms security investments.

(5) Mr. West has limited partnership interests in Lincoln Associates and Peachtree-Harris Company. Lincoln Associates interests are in residential apartment buildings and Peachtree-Harris Co. interests are in commerical office buildings. Neither partnership has leases with GSA or with the Department of the Interior.

(6) Dreyfus Liquid Assets, Inc. is a fund investing mainly in money market obligations including securities issued by or guaranteed by the U.S. Government.

(7) Land Resources Corporation is a Florida based corporation that acquires, leases and sells private residential and commercial properties in Florida, California, New Jersey, Colorado, New York, and Georgia.

(8) United Technologies Inc., manufactures and sells aviation engines and equipment.

(9) Houston Oil and Minerals Co. explores for and produces oil and natural gas. The company leases 42,500 acres of federal lands from the Department of the Interior for oil and gas operations.

(10) Intel Corporation designs, develops, manufactures and markets microcomputers and advanced semiconductor memory circuits for digital equipment. The company has no contracts with the Department of the Interior.

(11) Rouse Company, owns, develops and operates shopping centers and other real estate projects. Also engaged in mortgage banking.

(12) Sabine Corporation is a Texas based corporation engaged in the acquisition, exploration, development and production of coal, oil, gas and other natural resources. Oil and gas leased in the Gulf of Mexico and coal leased lands in New Mexico.

(13) Mallinckrodt, Incorporated is a Missouri based company engaged in manufacturing pharmaceuticals and chemicals which involve precision processing. Chemical products are used in medicine, electronics, research and testing laboratories.

(14) Hathaway Instruments Inc., designs and manufactures detecting, measuring, disturbances and malifunctions in electric utility systems, manufactures data and control systems, motors and graphic recording products.

(15) Teradyne Inc., is engaged in the design, manufacture, sale and servicing of instruments and computer operated systems for the testing of semi conductors and printed circuits.

(16) Alexander & Alexander Services, Inc. is a New York based holding Company which conducts a nationwide insurance brokerage and agency business in U.S. and abroad. Primarily engaged in casualty, property and marine insurance.

(17) Ohio Casualty Corporation, is a property casualty and life insurance corporation.

(18) Handy & Harmon Company is primarily engaged in processing silver, gold and other metals into a variety of parts for use by other manufactures.

(19) Pacific Gas Transmission Company is a subsidiary of Pacific Gas and Electric Company. Major activity is in the transportation of natural gas via pipeline. Also engages in gas exploration in the Rocky Mountain area. Company is involved in construction of gas pipeline from Alaska to lower 48 states. As of 1979, the company proposed to construct gas pipeline from Rocky Mountains to California. The company leases 124,000 acres of federal lands from the Department of the Interior for oil and gas operations.

(20) American Management Systems Inc. (OTC) is a Delaware based Company established in 1970, develops, installs and operates computer systems used in business and government. Company also provides computer services and management consulting services (not necessarily related to computers) main government clients are DOD, DOE and EPA.

(21) Atico Financial Corporation is a subsidiary of Pan American Bancshares, Inc. Corporation is a registered bank holding entity, based in Florida.

(22) Bethesda Research Labs is a private research organization and has no business with the Department of the Interior.

(23) Cray Research Incorporated is a Delaware based company that designs, manufactures and markets large scale computers designed for scientific applications. Users of equipment/services are Government agencies, institutions and corporations engaged primarily in scientific research. Company has sales offices throughout the country including Silver Spring, Maryland. Company has no contracts with the Department of the Interior.

(24) Freeport Minerals Company was incorporated in Delaware in 1913. Through subsidiaries, Company has many mining interests. Some of these include potash, oil, uranium, nickel, gold, coal, sulphur, chemicals and phosphates. Company engages in the mining and exploration of the above minerals and obtains federal leases for its activities. Most of the company's oil activities lie offshore in Texas and Louisianna. The company leases 23,000 acres of federal lands from the Department of the Interior for oil and gas operations.

(25) Lee Enterprises Inc. owns and operates 16 newspapers, 6 broadcasting divisions and through its subsidiaries produces and distributes movies for home use.

(26) MacDermid Inc. is a Connecticut based company engaging in eletroplating, surface protection and finish products, the manufacture of solution analyzers and chemical feed controllers. Company also designs the equipment needed to use its Chemical analyzers and pollution control equipment.

(27) McMoran Oil and Gas Company through its subsidiaries, the company is involved in acquiring oil and gas leases for exploration drilling. Company owns developed and undeveloped oil and gas and mineral leases principally along the Gulf Coast. The company leases 73,000 acres of federal lands from the Department of the Interior for oil and gas operations.

(28) Modular Computer Systems, Inc. is a Florida based company engaged in the design, manufacturing, and marketing of computer systems used primarily in measurement and control and communications applications.

(29) Penn Virginia Corporation leases mining properties to other companies. Thru its subsidiaries, company is engaged in quarrying, processing and selling limestone and related products. Company has 31% interest in Westmoreland Coal Company. A subsidiary, Colorado Westmoreland Inc., was awarded a lease covering 311 acres of federal land for mining.

(30) Pogo Producing Company was initially incorporated by Pennzoil Company in 1970. A later agreement in 1977 made Pogo an independent Company (as shown on record), but managed by top Pennzoil officials. Pogo is primarily engaged in oil and gas exploration, development and production operations located offshore in the Gulf of Mexico.

(31) Progressive Corp is a OTC Holding Company primarily in the insurance market.

(32) Ransburg Corporation is a Indiana based Company that through its subsidiaries, is primarily engaged in electrostatic coating systems and commerical and industrial painting.

(33) Sigma Aldrick Corporation is engaged in producing and distributing an extensive line of biochemical and organic products for use in life science and research and in diagnosing diseases.

(34) Spectra Physics Inc. is a California corporation engaged in the development, manufacture and sale of gas lasers and optical accessories, construction alignment equipment and electronic instrumentation for analytical instruments.

(35) Terra Chemicals International Inc. engages in chemical fertilizers and feed ingredients. As of 1978 Terra Chemicals was placed under control of Hudson Bay Mining & Smelting Company Ltd. (over 50% control).

Hudson Bay Mining & Smelting Company is engaged in mining metals, oil and gas, and other chemicals and fertilizers.

(36) Union Pacific Corporation is a holding corporation engaged in acquiring businesses whose interests are in railroads, oil, gas, coal and mineral extraction and development. In 1978 through a joint venture with Rocky Mountain Energy, company was granted a federal permit, to mine for coal in Wyoming. Union Pacific Corp., operates 5th largest railroad carrier in the United States.

Through its subsidiaries and affiliates, company is involved in exploration of oil, gas, coal and other minerals in U. S. and Canada. Company owns mineral rights to 7.9 million acres in the Western United States. Major gas drilling activities are in Wyoming and Colorado. Offshore interests in California and Gulf Coast of Florida.

(37) W. R. Grace and Company is a New York based company with interests in chemicals, related natural resources and consumer products and services. Activities include oil, gas and coal exploration and production, surface mining, heavy duty natural resource exploration equipment and water treatment products. The company leases 36,000 acres of federal lands from the Department of the Interior for oil and gas operations.

(38) Mr. West plans to continue in his position as a Director of Knowlton Brothers Company. Mr. West's service as Director will require only two or three days each year. The company manufactures industrial paper, primarily filter papers used in the automobile industry. The company has no business with or operations regulated by the Department of the Interior. Mr. West is aware of the statutory 15% limitation on outside earned income (Section 210, Pub. L. 95-521 as amended). Mr. West's continued service in this capacity creates no real or apparent conflict of interest with his proposed duties and therefore he is not prohibited by laws applicable to Department employees from such participation.

United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

March 4, 1981

Memorandum

To: File

From: Deputy Agency Ethics Official

Subject: Conflict of Interest Review Concerning J. Robinson West

Effective February 9, 1981, Mr. West was officially assigned to the position of Staff Assistant in the immediate office of the Assistant Secretary, Land and Water Resources. This position is a Senior Executive Service (SES) position in the Office of the Secretary, Department of the Interior. As such, this position is subject to the same conflict of interest prohibitions as the position of Assistant Secretary - Policy, Budget and Administration for which Mr. West is to be nominated by the President.

This memorandum documents the fact that we have analyzed Mr. West's financial disclosure report in relationship to his duties as Staff Assistant to the Assistant Secretary - Land and Water Resources. That review revealed that many of the financial interests reported by Mr. West are prohibited financial interests for the position to which he has been assigned. Recognizing the facts that (1) Mr. West has been assigned to this SES position only for the interim period until he is confirmed as Assistant Secretary and (2) Department regulations in 43 CFR 20.735-24 allow a reasonable period of time to effect resolution to prohibited holdings, we have asked Mr. West to take the following steps:

1. To disqualify himself from participation in an official capacity, in any particular matter involving any of the companies or entities in which he has a financial interest. This action is taken to prevent any potential violation of the provisions of 18 U.S.C. §208.

2. To refrain from participation in any specific policy issues which could create any real or apparent conflicts of interest with his financial interests. This restriction upon Mr. West's activities will not prohibit his involvement in broad policy issues or administrative procedures which he may be required to work on. However, this action will prevent any appearance of conflict of interest which may result from the relationship between Mr. West's financial interests and his official duties.

3. To restrict his official activities to advising and assisting the Secretariat and Assistant Secretary and to restrain from signing or otherwise issuing official policy, budget, and program decisions in their behalf.

This arrangement shall remain in effect until Mr. West is confirmed as Assistant Secretary - Policy, Budget and Administration. In the event that Mr. West is not confirmed as Assistant Secretary a decision will be made at that time to either assign Mr. West to another position within the Department that will not require the divestiture of his financial interests or to officially order Mr. West to divest of his financial interests in order to remain in the position of Staff Assistant.

Gabriela J. Paone

I agree to comply with the procedures set forth in this memorandum.

March 4, 1981

STOCKS PLEDGED FOR LAFER AMSTER LOAN

3,000	Rouse
500	United Tech (3.875 convertible preferred)
500	Alexander and Alexander
700	Lee Enterprises
600	Mallinckrodt, Incorporated
600	Ohio Casualty
500	Sigma Aldrich
400	Penn Virginia

AFFIDAVIT

=) ss

, being duly sworn, hereby states that he/she has read and signed the foregoing Statement for Completion by Presidential Nominees including the Financial Statement and that the information provided therein is, to the best of his/her knowledge and belief, current, accurate, and complete.

Subscribe and sworn before me this 16th day of July, 1981

Notary Public

My Commission Expires April 30, 1983

JAN W. MARES

Jan W. Mares is the Assistant Secretary for Fossil Energy, designate, for the U.S. Department of Energy (DOE). In this position, Mr. Mares' major responsibilities would include research and development of fossil energy sources and the leasing activities undertaken by the Department.

Mr. Mares has been with Union Carbide Corporation since 1963. Joining the Corporation as an attorney in the Law Department, he was subsequently assigned to positions involving the domestic chemicals business, the Finance Department, and various Union Carbide foreign activities before he was appointed International Counsel in 1972. In 1973, he became business manager in the Hydrocarbons Department, responsible for an effort to develop a petrochemical project with an oil-producing country. Since that time he has had various line and staff assignments in the chemicals area. He has been vice-president-general manager of the Ethylene Oxide Derivatives Division since the end of 1979.

He is an alumnus of Harvard College where he received an A.B. degree in chemistry in 1958. He also holds an S.M. degree in chemical engineering from Massachusetts Institute of Technology, received in 1960, and an L.L.B. degree from Harvard Law School, received in 1963.

Mr. Mares has served as Director of Energy Resources Co., Inc. of Cambridge, Massachusetts, and is a member of the American Chemical Society, the American Bar Association, and the New York State Bar Association.

He was born in St. Louis, Missouri. Mr. Mares is married to the former Lois Haase and they have two children.

June 1981

UNITED STATES SENATE
COMMITTEE ON ENERGY AND NATURAL RESOURCES

STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

Name: MARES (LAST) JAN (FIRST) W. (OTHER)

Position to which nominated: Assistant Secretary for Fossil Energy Date of nomination: July 8, 1981

Date of birth: 12 (DAY) Dec (MONTH) 1936 (YEAR) Place of birth: St. Louis, Missouri

Marital status: married Full name of spouse: Lois Haase Mares

Name and ages of children: Dorothy Louise 7

Joseph Jan 5

Education:

Institution	Dates attended	Degrees received	Dates of degrees
Harvard College	1954-58	A.B.	1958
M.I.T.	1958-60	S.M.	1960
Harvard Law School	1960-63	LLB	1963
Columbia University	1967 One Month Internatl. Law Program		
New York University and			
City College of New York	Nights	No Degree	

Employment record: List below all positions held since college, including the title and description of job, name of employer, location, and dates.

Laboratory Technician, Goodyear Co., Houston, Texas, Summer 1958

Engineering Assistant, Mares & Groppe, Houston, Texas, Summer 1959

Stock Analyst, Carl M. Loeb, Rhoades & Co., NY, NY, Summers 1960, 61

Legal Assistant, U.S. Attorney's Office, Houston, Texas, Summer 1962

(continued on page 1a)

Continuation of Employment Record

All of the following positions have been with Union Carbide Corporation in New York, New York, or since November 3, 1980, in Danbury, Connecticut:

Attorney (Chemicals and Plastics Area); 1963 to 1966

Assistant International Attorney; 1966 to 1967

Attorney (Finance and Secretary's Departments); 1968 to 1969

Union Carbide Africa and Middle East Area Attorney; 1968 to 1972

Union Carbide Europe Area Attorney; 1969 to 1972

Union Carbide Eastern Area Attorney; 1972 to 1973

International Counsel (Chief International Lawyer); 1972 to 1973

Business Manager, OPEC Program, Hydrocarbons Department; 1973 to 1976

Operations Manager, Industrial Chemicals Department and Ethylene Oxide/Glycol and Derivatives Department 1976 to 1977

Business Financial Task Force Manager, Hydrocarbons Department; 1977 to 1978

Operations Manager, Ethylene Oxide/Glycol Derivatives Department; 1978 to 1979

Vice President-General Manager, Ethylene Oxide Derivatives Division; from end of 1979 to date

Employment record—Continued

Military service: Enter all military service if not included above: service, dates, rank, type of discharge.

No Military Service

Honors and awards: List below all scholarships, fellowships, honorary degrees, military medals, honorary society memberships, and any other special recognitions for outstanding service or achievement.

Exxon Fellowship at Chemical Engineering Practice School, M.I.T.

Phi Lambda Upsilon -- Honorary Society at M.I.T.

Memberships: List below all memberships and offices held in professional, fraternal, business, scholarly, civic, charitable and other organizations.

Organization	Office held (if any)	Dates
(List attached, Page 2a).		

MEMBERSHIPS

Organization	Office held (if any)	Dates
(business)		
Mares Brokerage Company (a food brokerage partnership with my wife - now terminated)	Partner	1964 to 1970
Energy Resources Co., Inc. (a privately held company)	Director	1979 to 5-18-81
(other)		
American Chemical Society		1963 to date
American Bar Association		1963 to date
Sleepy Hollow Country Club		1969 to date
The Heights Casino (athletic & social club)		1964 to 1974
New York State Bar Association		1964 to date
Bar Association of the City of New York		1968 to 1977
Harvard Club of New York City		1963 to date
Harvard Law School Association		1963 to date
Harvard Law School Club of New York City		1963 to date
Harvard Club of Fairfield County		1981 to date
M.I.T. Club of New York		1963 to date
M.I.T. Sustaining Fellows		1979 to date
The Wilderness Society		1970's
Association of Harvard Chemists		1959 to date
Lincolns Inn Society (law school eating/social club)	Secretary	1960 to 1963
Common Cause		'60's - late '70's
Channel 13		1970's to date
New Canaan YMCA		1980 to date
Friends of the N.Y.C. Public Library		1970's to date

Organization	Office held (if any)	Dates
Carbide Club		1970's to date
U.S. Branch, International Fiscal Association		1971 to 1973
American Society of International Law		1973 to 1975
The Asia Society		late '60's to '70's
Stamford Museum		1981 to date
International Union of Operating Engineers		Summer 1958
New York Zoological Society		1968 to date
Metropolitan Museum		1964 to date
Museum of Modern Art		1964 to date
Museum of Natural History		1975 to date
Smithsonian Museum		1979 to date
New Canaan Nature Center		1980 to date
National Audubon Society		1980 to date
Legal Aid Society		1971 to date
Museum of the City of New York		1978 to 1980
Bronx Botanical Gardens		1980 to date
East African Wildlife Society		1968 to 1972
Royal African Society		1968 to 1972
Middle East Institute		1970 to 1974
Mares Foundation (a private charitable foundation)	Trustee	1963 to 7-9-81

Published writings:

List the titles, publishers and dates of any books, articles, or reports you have written.

None.

Qualifications: State fully your qualifications to serve in the position to which you have been named. (attach sheet) (page 4a)

Future employment relationships:

1. Indicate whether you will sever all connections with your present employer, business firm, association or organization if you are confirmed by the Senate.

Yes. Except for a vested pension.

2. As far as can be foreseen, state whether you have any plans after completing government service to resume employment, affiliation or practice with your current or any previous employer, business firm, association or organization.

I have no such plans.

3. Has anybody made you a commitment to a job after you leave government?

There is no commitment to me for a job after I leave government.

4. (a) If you have been appointed for a fixed term, do you expect to serve the full term?

Not applicable.

(b) If you have been appointed for an indefinite term, do you have any known limitations on your willingness or ability to serve for the foreseeable future?

No.

Potential conflicts of interest:

1. Describe any financial arrangements or deferred compensation agreements or other continuing dealings with business associates, clients or customers who will be affected by policies which you will influence in the position to which you have been nominated.

I have a vested pension arising from my service at Union Carbide Corp. which is considered an energy concern within the meaning of the D.O.E. Act. The present value of this pension is between $15,000 & $50,000.

2. List any investments, obligations, liabilities, or other relationships which might involve potential conflicts of interest with the position to which you have been nominated.

I own securities or interests in energy concerns within the meaning of the D.O.E. Act. My children and my wife own securities in energy concerns. A testamentary trust for my children's and my benefit owns securities in energy concerns. A testamentary trust for a relative's

(continued on Page 4b)

Continuation of Question 1 on Qualifications, Page 4.

My qualifications to serve as Assistant Secretary for Fossil Energy include the experience and training derived from the following:

(a) Undergraduate and graduate studies in chemistry, chemical engineering, and law;

(b) Ten years practicing law for Union Carbide Corporation on anti-trust, domestic commercial matters, international business transactions and finance departmental matters;

(c) Three years as manager of Union Carbide's efforts to build a profitable petrochemical facility with an oil producing country in return for a longer term supply of raw material. A detailed feasibility study of a project in Iran was completed in 1975, after which the Corporation decided not to proceed;

(d) Over three years, as an Operations Manager for several profit centers and their assigned chemical products. In this position, I was responsible for the profit, business plans, and capital, R&D engineering, manufacturing and environmental programs. During these assignments, I became familiar with short-, intermediate-, and long-range R&D and with capital projects in varying stages from initiation through completion and operation;

(e) Since the end of 1979, I have been Vice President-General Manager of the Union Carbide Ethylene Oxide Derivatives Division. This experience has not only exposed me to general management practices, but also increased my experience with R&D and engineering and provided me an acute awareness of energy costs;

(f) For about five years, I have been a security holder of Energy Resources Co., Inc., a privately held company selling energy and environmental service, equipment and research. From Fall of 1979 until May 18th of this year, I was a director of the company. My involvement with the company has given me a perspective that small R&D expenditures and pilot plants can justify substantial commercial investments when the external environment is appropriate and the technology adequately developed; and finally,

(g) Although born in St. Louis, I moved to the Gulf Coast of Texas in 1947. There, my father was in the petrochemical business, so I grew up learning about hydrocarbons for energy and feedstock use.

Continuation of Question 2 on Potential conflicts of interest, Page 4.

benefit, of which a second relative and I and my children are vested contingent beneficiaries, owns securities in energy concerns. All these holdings are listed on the attached Executive Personnel Financial Disclosure Report (SF 278).

As part of the above holdings, my children and I own securities of Energy Resources Co., Inc. and Energy Resources A. G. outright. The two testamentary trusts also own securities in these companies. Energy Resources Co., Inc. is a privately held company in Cambridge, Massachusetts which provides energy and environmental service, equipment, and research to private firms and government agencies. Energy Resources Co., Inc. had sales of approximately 10 million dollars in 1980. Energy Resources A.G. is a Swiss company owned by essentially the same shareholders as Energy Resources Co., Inc. that provides similar services, equipment, and research to clients outside of the United States. Both companies are considered to be energy concerns within the meaning of the D.O.E. Act.

88-035 O - 82 -- 6

3. Describe any business relationship, dealing or financial transaction (other than tax-paying) which you have had during the last 10 years with the Federal Government, whether for yourself or relatives, on behalf of a client, or acting as an agent, that might in any way constitute or result in a possible conflict of interest with the position to which you have been nominated.

None.

4. List and describe any lobbying activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation at the national level of government or for the purpose of affecting the administration and execution of national law or public policy.

I participated in a group studying the ethical aspects of the movement of high level personnel between government service and private enterprise which published the study and presented it to the Counsel to the President in June, 1977. I participated in a report by an ad hoc committee of the Association of the Bar of

(Continued on Page 5a).

5. Explain how you will resolve any potential conflict of interest that may be disclosed by your responses to the above items.

(Explanation on Page 5b).

6. Explain how you will comply with conflict of interest laws and regulations applicable to the position for which you have been nominated. Attach a statement from the appropriate agency official indicating what those laws and regulations are and how you will comply with them.

See answer to previous question, No. 5

(Further explanation on Page 5c).

Continuation of Question 4, Page 5.

the City of New York on Questionable Foreign Payments by Corporations: "The Problem and Approaches to a Solution", which was presented to various Members of the Legislative and Executive Branches in the Spring of 1977.

Question 5, Page 5.

I will divest myself of my interests in energy concerns prior to assuming office, except for my vested pension interest from Union Carbide and my interests in Energy Resources Co., Inc., and Energy Resources A.G., which are covered below. My wife will divest herself of her interests in energy concerns within 15 days after my assumption of office. My children will divest themselves of their interests in energy concerns, except for Energy Resources Co., Inc., and Energy Resources A.G., within 15 days after my assumption of office. The testamentary trust for my children and my benefit will divest itself of its interests in energy concerns within 15 days after my assumption of office, except for Energy Resources Co., Inc., and Energy Resources A.G., which are covered below. The testamentary trust for a relative's benefit will divest itself of its interests in energy concerns within 15 days after my assumption of office, except for Energy Resources Co., Inc., and Energy Resources A.G., which are covered below.

I have requested a time-limited waiver of the divestiture requirements of the D.O.E. Act to allow me and the two testamentary trusts to hold my and their securities of Energy Resources Co., Inc., and Energy Resources A.G. until I and they can divest them in a non-forced sale situation.

I have applied for a Secretarial waiver of the divestiture requirements of the D.O.E. Act for my vested pension from Union Carbide Corporation.

As Assistant Secretary for Fossil Energy, I will recuse myself and decline to participate in any particular matters in which Energy Resources Co., Inc., Energy Resources A.G., or, during the time period prescribed by Section 606a of the D.O.E. Act, Union Carbide Corporation is a formal party or in respect of which it is known to me to have a direct and specific financial interest.

Question 6, Page 5.

In addition, I intend to recuse myself on a case-by-case basis, in any matter in respect of which, in order to avoid a possible appearance of impropriety, it appears to me desirable that I not personally and substantially participate, despite the lack of any conflict of interest.

I believe that this policy, to which I am committed, will avoid the occurrence of any actual conflict of interest, and even the possible appearance of any conflict between my duties as an officer of the Government and my personal financial interest while at the same time enabling me to participate fully in generic policy decisions as Assistant Secretary for Fossil Energy.

Finally, I will seek and comply with the advice of the Office of General Counsel of the Department of Energy.

Department of Energy
Washington, D.C. 20585

JUL 16 1981

Mr. Jan W. Mares
131 Soundview Lane
New Canaan, Connecticut 06840

Dear Mr. Mares:

This is intended to serve as a statement from the designated agency ethics official of this Department, as required by question 6 (page 5) of the Statement for Completion by Presidential Nominees that you are submitting to the United States Senate Committee on Energy and Natural Resources in connection with your nomination for the position of Assistant Secretary for Fossil Energy. This memorandum reflects discussions you and I have had concerning the conflict of interest laws and regulations applicable to that position; it also reflects the guidance I have given you after reviewing your Standard Form 278 (Financial Disclosure Report) dated May 19, 1981, and amended on July 9, 1981, and your Form DOE-460 (Report on Prior Employment) dated May 21, 1981.

As a supervisory employee of the Department, you will be prohibited by section 602(a) of the Department of Energy (DOE) Organization Act (Pub. L. 95-91) from knowingly receiving compensation from, holding any official relation with, or having any pecuniary interest in any energy concern. The term "energy concern" is defined in section 601(b) of the Act as any entity "significantly engaged in the business" of any of a variety of activities related to energy production, distribution, sale, or research and development, or any entity significantly engaged in such research and development pursuant to a DOE-funded program irrespective of whether it pursues such activity as a profit-making venture. The term also includes any entity holding an interest in property from which an energy resource is commercially produced or obtained.

You listed in Schedule A of your Standard Form 278 numerous interests in energy concerns, in some of which you have a personal financial interest, either by direct ownership or as the beneficiary of two testamentary trusts. I understand that you will divest yourself of all such personal interests prior to assuming office except as noted below.

You have requested a Secretarial waiver of the divestiture requirement for the duration of your employment with DOE for a vested pension interest under the Union Carbide Corporation Retirement Plan. In addition, for reasons of exceptional hardship pursuant to the provisions of section 602(c), you have requested an 18-month Secretarial waiver of the divestiture requirement for your holdings and for those of the aforementioned testamentary trusts in Energy Resources Co., Inc., and Energy Resources, A.G., and a 15-day waiver for those energy concerns in which you have an interest as a beneficiary of the two testamentary trusts. I also understand that you will sever all relationships with and interests in Union Carbide, except for your vested pension interest in the Union Carbide Retirement Plan.

With respect to prior employment, sections 606(a) and (b) of the Act state:

(a) For a period of one year after terminating any employment with any energy concern, no supervisory employee shall knowingly participate in any Department proceeding in which his former employer is substantially, directly, or materially involved, other than in a rulemaking proceeding which has a substantial effect on numerous energy concerns.

(b) For a period of one year after commencing service in the Department, no supervisory employee shall knowingly participate in any Department proceeding for which, within the previous five years, he had direct responsibility, or in which he participated substantially or personally, while in the employment of any energy concern.

These provisions will be applicable to your prior employment by Union Carbide Corporation, which we understand has been your employer for the last seventeen years. The term "Department proceeding" is defined in section 1010.103(h) of DOE's Conduct of Employees regulations as "any judicial proceeding, Department hearing, application, rulemaking, order, license, contract, grant, award, fund transfer, claim, controversy, charge, accusation, or arrest, in which the Department is directly involved."

Finally, section 208, title 18, United States Code, makes it a criminal offense for you to participate personally and substantially, as a Government employee, in any particular matter in which you have (or your spouse, minor child,

partner, organization in which you are serving as officer, director, trustee, partner, or employee, or any person or organization with whom you are negotiating or have any arrangement concerning prospective employment has) a financial interest. Accordingly, you should avoid participation in any particular matter the outcome of which could have a direct and predictable effect on any such financial interests.

Please let me know if I can be of further assistance.

Sincerely,

Ralph D. Goldenberg

Ralph D. Goldenberg
Assistant General Counsel
for Standards of Conduct

Department of Energy
Washington, D.C. 20585

JUL 9 1981

Mr. J. Jackson Walter, Director
Office of Government Ethics
Office of Personnel Management
Washington, D.C. 20415

Dear Mr. Walter:

This is further to my June 25, 1981 letter transmitting to you, in accordance with 5 C.F.R. § 734.604(c)(2)(iii), a copy of the Standard Form 278 submitted by Jan W. Mares, incident to his nomination as Assistant Secretary for Fossil Energy, Department of Energy.

Mr. Mares has now informed me that he and his children are not contingent beneficiaries of an inter vivos trust, as had been reported on his SF 278. The assets of the trust should not have been reported, and accordingly Mr. Mares has submitted substitute pages 11 through 13A for his form. Copies of the substitute pages are enclosed.

Mr. Mares has also informed me that he is resigning as a trustee of the Mares Foundation.

In light of the above information, the Secretarial waivers for Mr. Mares' financial interest as trustee of the Mares Foundation (item 3 in my June 25 letter) and for the so-called beneficial interests in energy concerns held by an inter vivos trust (mentioned in item 4 of my letter) will not be required.

Sincerely,

Ralph D. Goldenberg
Assistant General Counsel
for Standards of Conduct

Enclosures

Financial statement:

1. Attach a copy of your Executive Personnel Financial Disclosure Report (SF 278).

2. List sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services and firm memberships or from former employers, clients, and customers. Amounts should be indicated by the categories established for reporting income on Form SF 278, Schedule A.

I will exercise a stock option with Union Carbide prior to assuming office which will have an economic value of $5,000 to $15,000. The stock will be sold to comply with the D.O.E. Act since Union Carbide

(Continued on Page 6a).

3. Are any assets pledged? (Add schedule.)

(Explanation on Page 6a).

4. Are you currently a party to any legal action?

No.

5. Have you ever declared bankruptcy?

No.

6. Have you filed a Federal income tax return for each of the last 10 years? If not, please explain.

Yes.

7. Has the Internal Revenue Service ever audited your Federal tax return? If so, what resulted from the audit?

(Explanation on Page 6a).

United States of America
Office of
Government Ethics

Office of Personnel Management
Washington, D.C. 20415

JUL 16 1981

Honorable James A. McClure
Chairman, Committee on Energy
and Natural Resources
United States Senate
Washington, D. C. 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Jan W. Mares, who has been nominated by President Reagan for the position of Assistant Secretary for Fossil Energy of the Department of Energy.

We have reviewed the report and have also obtained advice from the Department of Energy concerning any possible conflict in light of the Department's functions and the nominee's proposed duties.

We understand Mr. Mares has agreed that prior to his assumption of office he will divest himself of all directly held interests in "energy concerns," as defined at 43 U.S.C. § 7211(b), which are identified on his report (except for the three securities identified on p. 5). In addition, he has agreed to resign as trustee of both the Joseph R. Mares Trust and the Mares Foundation. Finally, as stated in the letters to this Office from the Department of Energy dated June 25 and July 9, 1981 (copies enclosed), Mr. Mares has applied to the Secretary of Energy for waiver of divestiture requirements under 42 U.S.C. § 7212(c) with respect to the three interests noted in Energy's letters, which include the securities referred to above. Please observe that the listings in the June 25, 1981 letter are amended by the July 9 letter.

Subject to the Secretary's grant of these waivers, we believe that Mr. Mares will be in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Jackson Walter

J. Jackson Walter
Director

Enclosure

Department of Energy
Washington, D.C. 20585

June 25, 1981

J. Jackson Walter, Director
Office of Government Ethics
Room 436-H
1900 E Street, N W.
Washington, D.C. 20415

Dear Mr. Walter:

This letter transmits to you, in accordance with 5 C.F.R. §734.604(c)(2)(iii), a copy of the Standard Form 278 submitted by Jan W. Mares, incident to his proposed nomination as Assistant Secretary for Fossil Energy, Department of Energy. A position description is attached to the form.

Section 602(a) of the Department of Energy Organization Act (Pub. L. 95-91, hereinafter "the Act") prohibits Mr. Mares from having any official relationship with or any financial interest in any energy concern. Section 602(c) authorizes the Secretary to waive the prohibition where exceptional hardship would otherwise result, or where the interest is a pension, insurance, or other similarly vested interest. Such waivers must be published in the Federal Register.

Mr. Mares has indicated on his form the divestitures he will undertake to comply with section 602(a) of the Act and to help assure compliance with section 208, title 18, United States Code. Mr. Mares has applied for Secretarial waivers of the divesture provisions, pursuant to section 602(c), for the following interests:

1. Vested pension in Union Carbide Corporation (for duration of service with Department).

2. Fee ownership in stock and warrants in Energy Resources Co. Inc. (ERCO) and Energy Resources A.G. (ER-A.G.) (for eighteen months).

3. Financial Interest in ERCO and ER-A.G. as trustee of the Mares Foundation which holds ERCO and E.R.-A.G. stock as part of its corpus (for duration of service with Department).

4. Beneficial interests in energy concerns held by two testamentary trusts and an inter vivos trust established by a relative. (For 15 days, except for interests in ERCO and ER-A.G., and in Dome Petroleum Ltd and Pogo Producing Company held by the inter vivos trust, which would be for the duration of his service with the Department.)

Mr. Mares has stated that he will sever all official relationships with, and financial interests in, Union Carbide Corporation prior to assuming office, except for his vested interest in the Union Carbide Retirement Plan, mentioned in Schedules A and D. Mr. Mares is not aware of any severance payment, special bonus, or other interest that might result from his termination of employment with Union Carbide, although he states that he may receive a bonus in early 1982 for his services in 1981 performed prior to his termination and assumption of office in the Department. This bonus would be granted in accordance with an established Union Carbide bonus program.

Mr. Mares will also be given appropriate advice to enable him to comply with the provisions of sections 606(a) and (b) of the Act which prohibit him, for one year, from participating in certain Department proceedings involving Union Carbide, a former energy concern employer.

Mr. Mares lists three trusts on page 8 of his form which we understand your office has determined to be "excepted" trusts within the meaning of 5 C.F.R. 734.402(a)(3).

Mr. Mares will be given advice to assure his compliance with the prohibitions of section 208, title 18, United States Code, concerning his remaining financial interests and those of his spouse and minor children.

This letter is intended to be annexed to the "comments" section of Mr. Mares' Standard Form 278. Except for the matters described above, I encountered no problems in reaching the conclusions upon which my certification on the form is based.

Sincerely,

Ralph D. Goldenberg
Assistant General Counsel
for Standards of Conduct

Enclosures: 1. Mr. Mares' SF 278
2. Position Description

131 Soundview Lane
New Canaan, Connecticut 06840

May 15, 1981

Mr. J. Jackson Walter
Office of Government Ethics
1900 E Street N.W.
Room 436H
Washington, D.C. 20415

Dear Mr. Walter:

My wife, Lois H. Mares, is a potential beneficiary of three family trusts.

(a) The Louis H. Hempleman Trust (her grandfather).

(b) The Walter S. Haase Trust (her father).

(c) The Dorothy H. Haase Trust (her mother).

I have not received and do not expect to receive a direct benefit from these trusts.

The funds in these trusts were not derived from me.

I have had no management involvement with these trusts.

I am not familiar with the holdings or transactions of these trusts. However, I believe they have held shares of Xerox, and that one of the trusts has held shares of Schlumberger Ltd. and Ocean Drilling & Exploration. I believe the Hempleman trust holds some Exxon shares to fund a pension for the benefit of a person not a member of my or my wife's families.

Very truly yours,

Jan W. Mares

JWM:cg

FINANCIAL DISCLOSURE REPORT

Report Status (Check Appropriate Box)

[ ] Nominee [X] New Entrant, Nominee or Candidate [ ] Annual

Agency Use Only

MAY 21 1981

Reporting Individual's Name	Last Name: MARES; First Name and Middle Initial: JAN W.
Position for Which Filing	Title of Position: ASSISTANT SECRETARY FOR FOSSIL ENERGY; Department or Agency: ENERGY
Location of Present Office	Address (Number, Street, City, State and Zip Code): UNION CARBIDE CORP., OLD RIDGEBURY ROAD, DANBURY, CT 06817; Room Number: (203) 794-257
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: ENERGY AND NATURAL RESOURCES
Positions Held With the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held: NONE

Certification

I CERTIFY that the statements I have made on this form and all attachments are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: Jan W Mares — May 17, 19

Agency Ethics Official's Opinion

On the basis of information contained in this report, I conclude that there is no conflict of interest under applicable laws and regulations.

Signature of Designated Agency Ethics Official: Roger D. Yorsenberg — 6/25/81

Office of Government Ethics Use Only

Signature:

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

See 6/25/81 letter to J. Jackson Walter, Director, OGE. RDJ

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SF 278—Financial Disclosure Report, Schedule A
(Rev. 6/89)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust? SEE PAGES		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child who is you have not reported but which would be reportable if held by you?		
If "yes", do you certify to the following?		
1 They derive no benefit solely from your spouse's or dependent child's financial interest or responsibility		
2 They did not, in any way, solicit or present, derived from your income assets or activities		
3 You neither derive, nor expect to derive, any financial or economic benefit from them, and		
4 You do not have knowledge as to the composition of such interests or liabilities?		

Page Number 1

Reporting Individual's Name: JAN W. MARES

Agency Use Only

Date Received: MAY 21 1991

Identification	Type of Income	Income Category of Amount or Value	Interests in Property
	Dividends / Rent / Interest / Capital Gains / Excepted Trust / Qualified Trust / Other (Specify)	None (or less than $201) / $201 - $1,000 / $1,001 - $2,500 / $2,501 - $5,000 / $5,001 - $15,000 / $15,001 - $50,000 / $50,001 - $100,000 / Over $100,000 / Actual Amount / Estimated Amount / Date (Mo., Day, Yr.)	
ALBANY INTL. CORP. Common	✓	✓	H ✓
AMDAHL CORP. "	✓	✓	H ✓
BAKER INDUSTRIES CORP. "		✓	H ✓
BURROUGHS CORP. "	✓	✓	H ✓
BOEING COMPANY (SOLD) "	✓ ✓	✓ ✓	H ✓
CONOCO INC.* "	✓	✓	H ✓
CRUTCHER RESOURCES CORP.* "	✓	✓	H ✓
DART & KRAFT, INC. "	✓	✓	H ✓
DATA-DESIGN LABORATORIES "	✓	✓	H ✓
DATAPRODUCTS CORP. "	✓	✓	H ✓
DIGICON, INC. * "		✓	H ✓
DIGITAL EQUIPMENT CORP. "		✓	H ✓
DOME PETROLEUM LTD.* "		✓	H ✓
EASTMAN KODAK COMPANY "	✓	✓	H ✓

SEE NOTES ON PAGE 10

SF 278 – Financial Disclosure Report, Schedule A
Office: HR00

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? .. or "qualified" trust?		

Are there any assets in property or liabilities that you have or your spouse or dependent child has which you have not reported but which would be reportable, if held by you?
If yes, do you certify to the following?
1 They represent solely your spouse's or dependent child's financial interest or responsibility
2 They are not, in any way, past or present, derived from your income, assets, or activities,
3 You neither derive, nor expect to derive, any financial or economic benefit from them, and
4 You do not have knowledge as to the composition of such interests or liabilities?

Page Number 2

Reporting Individual's Name: JAN W. MARES

Agency Use

MAY 11 1

Spouse (S) or Dependent Child (DC)	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Business Ownership	Ordinary Trust	Other (Specify)	Income: Category of Amount or Value (✓) None or $ 200	$201 $1,000	$1,001 $2,500	$2,501 $5,000	$5,001 $15,000	$15,001 $50,000	$50,001 $100,000	Over $100,000	Actual Amount (only if over $100,000 or specified)	Estimated	Investments and Trusts — Assets and Income: Type (e.g., stock, rental property, real estate, savings accounts, IRA, trust, mutual fund, bond)	Amount Code (A–H)	Value Code (J–P)	Income Code (K–W)	Income Amount Code (X–Z)
	GENERAL AMERICAN OIL CO. OF TEXAS* Common	✓								✓										H			
	GENERAL AUTOMATION, INC. "								✓											H			
	GENERAL ELECTRIC CO.* "	✓										✓								H			
	GOULD, INC.* "	✓								✓										H			
	MI-SHEAR INDUSTRIES, INC. "	✓								✓										H	✓		
	INTEL CORP. "								✓											H			
	INTL. BUSINESS MACHINES CORP. "	✓												✓						H			
	KERR McGEE CORP.* "	✓									✓									H			
	MARINE MIDLAND BANKS INC. "	✓									✓									H			
	FREEPORT-McMoRan, INC. * "	✓							✓											H			
	VALTEC CORP. (SOLD) "				✓				✓					✓						H			
	NATIONAL MEDICAL ENTERPRISES, INC. "	✓								✓										H			
	NOVO INDUSTRIES CORP. "				✓				✓				✓							H			
	OCCIDENTAL PETROLEUM CORP.* "	✓									✓									H	✓		

SEE NOTES ON PAGE 10

278 (88)

OF 278—Financial Disclosure Report, Schedule A
(Rev. 6/80)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes" is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any stocks, bonds, or other property or liabilities of a spouse or dependent child which you have not reported but which would be reportable, if held by you?		
If "yes" do you certify to the following?		
1 They represent solely your spouse's or dependent child's financial interest or responsibility;		
2 They are not, in any way, past or present, derived from your income, assets or activities;		
3 You neither derive, nor expect to derive any financial or economic benefit from them; and		
4 You do not have knowledge as to the composition of such interests or liabilities?		

Page Number — 3

Reporting Individual's Name: JAN W. NARES

Agency or Organization:

Date of Appointment: MAY 21 1981

Schedule (Sch.) or Supplement (Supp.)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests in Property: Value			
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	Amount Not Required	Basis (Specify)			
	PAGE PETROLEUM LTD.* Common								✓												H			✓
	PENNZOIL COMPANY* "	✓									✓										H			✓
	POCO PRODUCING COMPANY* "								✓												H		✓	
	RECOGNITION EQUIP., INC. (SOLD) "				✓				✓				✓								H			✓
	ROYAL DUTCH PETROLEUM CO.* "	✓									✓										H			✓
	SEAGULL PIPELINE CORP. (SOLD) "	✓							✓												H	✓		
	STORAGE TECHNOLOGY CORP. "								✓												H			✓
	TENNECO CORP.* "	✓								✓											H		✓	
	TEXAS INSTRUMENTS, INC. "	✓								✓											H			✓
	TWA Warrants								✓												H		✓	
	U.S. SURGICAL CORP. Common								✓												H			
	UNION CARBIDE CORP.* "	✓										✓									H			✓
	UNION OIL CO. OF CALIFORNIA* "	✓									✓										H			✓
	UNIVERSAL RESOURCES CORP.* "	✓								✓											H			✓

SEE NOTES ON PAGE 10

278-104

SF 278—Financial Disclosure Report, Schedule A
(Rev. 4/80)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is the trust an "excepted" trust? ... or "qualified" trust?		

Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable if held by you

If "yes", do you certify to the following?

1 They represent solely your spouse's or dependent child's financial interest or responsibility

2 They are not, in any way, past or present, derived from your income, assets or activities

3 You neither derive, nor expect to derive, any financial or economic benefit from them, and

4 You do not have knowledge as to the composition of such interests or liabilities?

Page Number 4

Reporting Individual's Name: JAN W. HARES

Agency Use Only

Date of Filing (Month, Day, Year): MAY 21 1981

Schedule (B) or Dependent Child (DC)	Identification		Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Business Trust	Qualified Trust	Other (Specify)	Income: Category of Amount or Value (✓) None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	Over $250,000	Estimated Amount	Unable to Obtain Information	Date Acquired (Mo., Day, Yr.)	Date Disposed (Mo., Day, Yr.)
	MAIROCO OIL CORP.*	Common	✓								✓										H	✓
	WENDY'S INT'L., INC.	"								✓											H	✓
	MONETCO ENTERPRISES, INC.	"	✓							✓											H	✓
	THE WILLIAMS COMPANIES*	"	✓								✓										H	✓
	XEROX CORP.	"	✓										✓								H	✓
		"																				
		"																				
	TESORO PETROLEUM CORP. (SOLD)	"	✓			✓					✓						✓				H	✓
	HOUSTON OIL & MINERALS CORP.	"	✓			✓					✓						✓				H	✓
	INTERSIL INC.	"	✓			✓					✓					✓					H	✓
		"																				
	McCORMICK OIL & GAS CO.	"	✓			✓					✓										H	✓

SEE NOTES ON PAGE 10

SF 278—Financial Disclosure Report, Schedule A
Rev. 4/80

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "exempted" trust?		
or "qualified" trust?		

Are there any arrangements, property or liabilities of a spouse or dependent child which you have not reported which would be reportable, if held by you?

If yes, do you certify to the following?

1 They create no conflict between your spouse's or dependent child's financial interest or responsibility.

2 They are not, in any way, past or present, derived from your income assets or activities.

3 You neither derive, nor expect to derive, any financial or economic benefit from them, and

4 You do not have knowledge as to the composition of such interests or liabilities?

Page Number 5

JAN W. MARES

Agency Use Only

Date MAY 21 1981

Schedule (Sch. A or Supplement Sched. SC)	Identification	Income: Type of Income	Income: Category of Amount or Value	Income: Amount or Type	Income: Date	Assets: Beginning of Year	Assets: End of Year	Transactions
	ENERGY RESOURCES CO., INC. Common	A				A		
	ENERGY RESOURCES A.G. "	A				A	✓	
	ENERGY RESOURCES CO., INC. Warrants	A				A		✓

A - I HAVE REQUESTED A TIME-LIMITED WAIVER OF THE DIVESTITURE REQUIREMENTS OF SECTION 602 OF THE DOE ACT FOR MY INTERESTS IN THIS ENTITY.

ENERGY RESOURCES CO.INC. - A PRIVATELY HELD COMPANY LOCATED AT 185 ALEWIFE BROOK PARKWAY, CAMBRIDGE, MASS. IT PROVIDES ENERGY AND ENVIRONMENTAL SERVICES.

ENERGY RESOURCES A.G. - A PRIVATELY HELD SWISS COMPANY WITH AN OFFICE AT ZOLLIKERSTRASSE 228,CH-8008,ZURICH, SWITZERLAND. IT PROVIDES ENERGY AND ENVIRONMENTAL SERVICES.

SEE NOTES ON PAGE 10

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? ... or "qualified" trust? ...		

	Yes	No
Are you or any member of your family or household (as defined on page 1) which you have not reported but which would be reportable if held by you?		
If "yes", do you certify, as the following?		
1 The interest solely your spouse's or dependent child's financial interest or for your family.		
2 This interest, in any way, past or present, derived from your income, assets, or activities.		
3 You neither derive, nor expect to derive, any financial or economic benefit from them, and		
4 You do not have knowledge as to the composition of such interests or holdings?		

Form No. 6

Reporting Individual's Name: JAN W. NARES

Agency Use Only

Date Received: MAY 21 1981

Schedule (B) or Dependent Child (DC)	Identification	Income: Type of Income (✓)						Income: Category of Amount or Value (✓)										Interests in Property
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	Over $1,000,000	Actual Amount / Only "Other" Specified	Code (Min. Cap. Yr.) / Entity & Holdings	
	CPI LTD. 1978/8 PROGRAM *							PARTNERSHIP INCOME										(454)		A
	OIL & GAS DRILLING PROGRAM -																			
	A LIMITED PARTNERSHIP																			
	c/o COLA PETROLEUM, INC.																			
	601 W. MARIENFELD																			
	MIDLAND, TEXAS																			
	NESTOR PARTNERS				✓			PARTNERSHIP INCOME									✓	13,880		A
	A COMMODITIES & CURRENCY FUND																			
	A LIMITED PARTNERSHIP																			
	AT COMMINVEST																			
	390 RIDGEFIELD ROAD																			
	WILTON, CONN. 06897																			

SEE NOTES ON PAGE 10

SF 278 – Financial Disclosure Report, Schedule A
(Rev. 4/88)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes" is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any assets, income or liabilities of a spouse or dependent child which you have not reported but which might be reportable if held by you?		
If "yes", do you certify to the following?		
1 They represent solely your spouse's or dependent child's financial interest or responsibility		
2 They are not, in any way, past or present, derived from your income, assets or activities.		
3 You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4 You do not have knowledge as to the composition of such interests or the parties?		

Page Number 7

Reporting Individual's Name
JAN W. MARES

Agency Use Only
Date (Month, Day, Year)
MAY 21 1991

Schedule A-1 or Dependent's Code (DC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)												
		None	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None or $200 or less	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000	Basis (Specify Amount)	Type of Transaction (Purchase, Sale, Exchange)
	MOUNTAIN GAS							PARTNERSHIP INCOME												16	
	OIL & GAS DRILLING PROGRAM																				
	A LIMITED PARTNERSHIP																				
	c/o STERLING DRILLING & PRODUCTION																				
	622 THIRD AVENUE																				
	NEW YORK, NEW YORK 10017																				
	TOMSA, INC., HOUSTON, TEXAS			✓	✓								✓								
	INSTALLMENT SALE LAND CONTRACT																				
	SOUTHWEST CHEM. SERVICES, INC. COMMON									✓											
	HOUSTON, TEXAS - INSTALLMENT SALE																				
	CONTRACT																				
	JOINT INTEREST IN 60 UNDEV. ACRES IN JEFFERSON CITY, MONTANA Purchased 10/31/73									✓											

	MOUNTAIN GAS							PARTNERSHIP INCOME												16	
	OIL & GAS DRILLING PROGRAM																				
	A LIMITED PARTNERSHIP																				
	c/o STERLING DRILLING & PRODUCTION																				
	622 THIRD AVENUE																				
	NEW YORK, NEW YORK 10017																				
	TOMSA, INC., HOUSTON, TEXAS			✓	✓								✓								
	INSTALLMENT SALE LAND CONTRACT																				
	SOUTHWEST CHEM. SERVICES, INC. COMMON									✓											
	HOUSTON, TEXAS - INSTALLMENT SALE																				
	CONTRACT																				
	JOINT INTEREST IN 60 UNDEV. ACRES IN JEFFERSON CITY, MONTANA Purchased 10/31/73									✓											

Type of Transaction (Purchase, Sale, Exchange)																					
A	✓																				
H																				✓	
H																				✓	
C	✓	($2,000)																			

SEE NOTES ON PAGE 10

A 278 -Financial Disclosure Report Schedule A
Rev. 4/88

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Did you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes" is this trust an "exempted" trust?		
or "qualified" trust?		

Are you or any other [illegible] property or liabilities of a spouse or dependent child who is you have not reported but which would be reportable if held by you?
1. Do you exercise, by the following?
1 They represent solely your spouse's or dependent child's financial interest or responsibility.
2 They are not, in any way, past or present, derived from your income assets or activities.
3 You neither derive nor expect to derive any financial or economic benefit from them, and
4 You do not have knowledge as to the composition of such interests or the holdings?

9

JAN W. MARES

MAY 21 [illegible]

Schedule (SO or Department Code) (SC)	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Royalties	Limited Partnership	Other (Specify)	Income: Category of Amount or Value (✓) Amount of Income	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000	Only if "Other" Specified	Date (Month, Day, Year)				
	In process of liquidation ACL HAASE CO., St. Louis, Missouri								✓												A	✓			
	BEAR STEARNS + + +			✓					✓												H	✓			
	CASH RESERVE MGT. INC. Units			✓							✓										H		✓		
	MERRILL LYNCH READY ASSET TRUST Units			✓							✓										H			✓	
	DREYFUS MONEY FUND			✓							✓										H		✓		
	U.S. TREASURY BILLS (Sold)			✓									✓								H			✓	
	MANUFACTURERS HANOVER TRUST			✓						✓											H		✓		
	SAVINGS ACCOUNT																								
	CITICORP SAVINGS ACCOUNT			✓					✓												H		✓		
	MANHATTAN SAVINGS BANK-SAVINGS ACCT.			✓						✓											H	✓			
	U.S. SAVINGS BOND								✓												H	✓			
	LOAN TO A RELATIVE'S ESTATE								✓												H			✓	

SEE NOTES ON PAGE 10

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INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?	✓	
If "yes", have you reported the income from the trust?	✓	
If "yes", have you reported the assets of the trust?	✓	
If "yes", is the trust an "excepted" trust? ✓ or "qualified" trust?		✓

Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable if held by you?

If "yes", do you certify to the following?

1. They represent solely your spouse's or dependent child's financial interest or responsibility.
2. They are not, in any way, past or present, derived from your income, assets, or activities.
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and
4. You do not have knowledge as to the composition of such interests or liabilities?

Page Number ▶ 11

Reporting Individual's Name

JAN W. MARES

Agency Use Only

Date (Month, Day, Year)

JUL 9 1981

Schedule (A) or Category (Col. (B))	Identification	Income: Type of Income	Income: Category of Amount or Value	Assets: Value	Assets: Yr. End Value
		Dividends / Rent / Interest / Capital Gains / Excepted Trust / Capital Gains Trust / Other (Specify)	None or Not Applicable / $1,001 - $2,500 / $2,501 - $5,000 / $5,001 - $15,000 / $15,001 - $50,000 / Over $50,000 / Actual Amount / Estimated: Check One: Under $1,001 / $1,001 - $2,500 / $2,501 - $5,000 / $5,001 - $15,000 / $15,001 - $50,000 / Over $50,000 / Actual Amount / Estimated: Check One: Under $1,001 / $1,001 - $2,500 / $2,501 - $5,000 / $5,001 - $15,000 / $15,001 - $50,000 / Over $50,000		
	THE FOLLOWING SECURITIES AND INTERESTS IN PROPERTY VALUED AS OF APRIL 24, 1981 ARE IN A TESTAMENTARY TRUST FOR THE PRIMARY BENEFIT OF A RELATIVE. MY CHILDREN AND I ARE VESTED CONTINGENT BENEFICIARIES. "RELATIVE", AS USED HEREIN, EXCLUDES MY SPOUSE OR DEPENDENT CHILDREN:				
	AETNA LIFE & CASUALTY CO. Common	✓	✓	H	✓
	AMERICAN CYANAMID CO. "	✓	✓	H	✓
	AMERICAN GENERAL CORP. "	✓	✓	H	✓
	BOISE CASCADE CORP. "	✓	✓	H	✓
	COCA-COLA. "	✓	✓	H	✓

SEE NOTES ON PAGE 13A

SF 278—Financial Disclosure Report, Schedule A
(Rev. 6/90)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust?		
or "qualified" trust?		

	Yes	No
Are you or any member of your family or household or any corporation, firm or partnership with which you have not reported but which it would be reportable or held by you		
If "yes", do you certify to the following?		
1 They represent solely your spouse's or dependent child's financial interest or responsibility		
2 They are not, in any way, past or present, derived from your income, assets, or activities		
3 You shall or derive, nor expect to derive, any financial or economic benefit from them; and		
4 You do not have knowledge as to the composition of such interests or the holdings?		

Page Number 12

Reporting Individual's Name
JAN W. MARES

Agency (Dept.)

Date (Month, Day, Year) JUL 9 1991

Schedule (By A or Dependent Child (DC))	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Royalty	Dividend Trust	Other (Specify)	Income: Category of Amount or Value (✓) None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	Over $1,000,000	Actual Amount Only if Other Specified	Date (Mo. Day. Yr.) Only if Transaction				
	DART & KRAFT, INC. Common	✓									✓												✓
	DOME PETROLEUM LTD* "				✓									✓									✓
	ENERGY RESOURCES CO. INC. Common A								✓	A - See Notes on Page 5													✓
	ENERGY RESOURCES A.G. Common A								✓												✓		
	ENERGY RESOURCES CO. INC. Warrants A								✓													✓	
	EXXON CORP.* Common	✓									✓											✓	
	FEDERATED DEPT. STORES INC. "	✓									✓											✓	
	GULF OIL CORP.* "	✓									✓												✓
	HALLIBURTON CO.* "	✓									✓											✓	
	INTERNATIONAL BUSINESS MACHINES CORP. "	✓									✓												✓
	JEWEL COMPANIES INC. "	✓									✓											✓	
	ELI LILLY & CO. "	✓							✓													✓	
	MCDONNELL DOUGLAS CORP. "	✓							✓													✓	
	MESA ROYALTY TRUST* "	✓									✓											✓	

SEE NOTES ON PAGE 13A

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable if held by you?		
If "yes", do you certify to the following?		
1 They represent solely your spouse's or dependent child's financial interest or obligations;		
2 They are not, in any way, past or present, derived from your income, assets, or activities;		
3 You neither derive, nor expect to derive, any financial or economic benefit from them; and		
4 You do not have knowledge as to the composition of such interests or liabilities?		

Page Number 13

Reporting Individual's Name: JAN W. MARES

Agency or Organization:

Date of Report (Month, Day, Year): JUL 9 19

Spouse (S) or Dependent Child (DC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interest in Property
		Dividends	Rent	Interest	Capital Gains	Retained Trust	Gains Trust	Other (Specify)	None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	Over $1,000,000	Actual Amount	Date (Mo., Day, Yr.)	
	PFIZER, INC. (SOLD)	✓			[redacted]				✓	[redacted]										H ✓
	PHILIP MORRIS INC.	✓								✓										H ✓
	NEWMONT MINING CORP.*	✓							✓											H ✓
	PENNZOIL CO.*	✓								✓										H ✓
	POGO PRODUCING CO.*	✓								✓										H ✓
	ROYAL DUTCH PETROLEUM CO.*	✓								✓										H ✓
	SANTA FE INDUSTRIES INC.*	✓								✓										H ✓
	SIGNAL COMPANIES INC.*	✓								✓										H ✓
	SOUTHERN RAILWAY CO.	✓								✓										H ✓
	STANDARD OIL COMPANY OF CALIFORNIA*	✓								✓										H ✓
	STANDARD OIL CO. INDIANA*	✓								[redacted]										H ✓
	TELEDYNE INC.*								✓											H ✓

SEE NOTES ON PAGE 13A

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust?... or "qualified" trust?...		

Are there any assets in property or liabilities of your spouse or dependent child which you have not reported but which would be reportable if held by you?

If "yes", do you certify to the following?

1. They represent solely your spouse's or dependent child's financial interest or responsibility
2. They are not, in any way, past or present, derived from your income assets or activities,
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and
4. You do not have knowledge as to the composition of such interests or liabilities?

Page Number 13A

Reporting Individual's Name: JAN W. HARES

Date of Filing: Month JUL Day 9 Year 19..

Schedule (S) or Description (Lines Only)	Identification	Income: Type of Income (✓) Dividends	Rents	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	Income: Category of Amount or Value (✓) None or Little (Not over $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000	Actual Amount (Only if Other Specified)	Estimated Value (Only if Other Specified)	Interests in Property: Held by Reporting Individual	Jointly	Spouse	Dependent Child
	TEXACO INC.* Common	✓							✓											N	✓	
	TEXAS EASTERN CORP.* "	✓							✓											N	✓	
	TEXASGULF INC.* "	✓							✓											N	✓	
	CURRENT INTEREST FUND - ROTAN MOSLE			✓					✓											N	✓	
	*SECURITIES WHICH WILL BE DIVESTED NO LATER THAN 15 DAYS FOLLOWING MY ASSUMPTION OF OFFICE.																					

THE DIVIDEND AND INTEREST INCOME FROM THE TRUSTS CURRENTLY OWNED SECURITIES AND INTERESTS IN PROPERTY FOR THE PERIOD 1/1/80 to 4/30/80 HAS BEEN CALCULATED AS 33% OF THE ESTIMATED ANNUAL INCOME FOR THESE SECURITIES

INCOME AND INTERESTS IN PROPERTY

Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust? ..... Yes ✓ No

If "yes", have you reported the income from the trust? ..... ✓

If "yes", have you reported the assets of the trust? ..... ✓

If "yes" is this trust an "excepted" trust? ... Yes ✓ No or "qualified" trust? .... ✓

Are the assets which you certify or establish as [illegible] which you have that regarding that which it would be [illegible] held by you?

If "yes", do you certify to the following?

1 They represent solely your spouse's or dependent child's financial interest or responsibility

2 They are not, in any way, past or present, derived from your income, assets or activities,

3 You neither derive, nor expect to derive, any financial or economic benefit from them, and

4 You do not have knowledge as to the composition of such interests or the [illegible]?

Page Number 14

Reporting Individual's Name: JAN W. HARES

Date of Report: MAY 21 1981

Schedule (Q or Dependent Child (DC))	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains	Royalties	Qualified Trust	Other (Specify)	Income: Category of Amount or Value (✓) None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000	Actual Amount	Only if over $5,000	Value of Asset at End of Reporting Period	Type	Exchange	Purchase	Sale
	THE FOLLOWING SECURITIES ARE TO BE																							
	PUT INTO A TRUST FOR THE BENEFIT OF																							
	MY CHILDREN AND ME WHEN A RELATIVE'S																							
	ESTATE IS SETTLED THIS YEAR:																							
	AETNA LIFE & CASUALTY CO. Common	✓								✓											H	✓			
	AMERICAN CYANAMID CO. "	✓								✓											H	✓			
	AMERICAN GENERAL CORP. "	✓								✓											H	✓			
	BOISE CASCADE CORP. "	✓							✓												H	✓			
	COCA-COLA CO. "	✓								✓											H	✓			
	DART & KRAFT INC. "	✓									✓										H			✓	
	DOME PETROLEUM LTD. * "				✓				✓					✓							H			✓	
	EXXON CORP. * "	✓								✓											H			✓	
	FEDERATED DEPT. STORES INC. "	✓								✓											H	✓			
	GULF OIL CORP. * "	✓								✓											H	✓			

SEE NOTES ON PAGE 16

INCOME AND INTERESTS IN PROPERTY

Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust? ..... Yes ☐ No ☐

If "yes", have you reported the income from the trust? .....

If "yes", have you reported the assets of the trust? .....

If "yes", is this trust an "excepted" trust? ... Yes ☐ No ☐ or "qualified" trust? ....

Are there any other assets or property or liabilities of a spouse or dependent child which you have not reported but which would have to be reported if held by you? .....

If "yes", do you certify to the following?

1. They represent solely your spouse's or dependent child's financial interest or responsibility.
2. They are not, in any way, past or present, derived from your or other assets or activities.
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and
4. You do not have knowledge as to the composition of such interests or the holdings? .....

Page Number 15

Reporting Individual's Name: JAN W. MARES

Agency to ...

Date: MAY 21 ...

Source (S) or Obligation Code (OC)	Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests			
		Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	Over $100,000	Asset Amount Only if Specified	Value of Interest Only if Honoraria	Type	Name	Address	Date
	HALLIBURTON CO. * Common	✓								✓									N			✓
	INTL. BUSINESS MACHINES CORP. "	✓								✓									N		✓	
	JEWEL COMPANIES INC. "	✓								✓									N	✓		
	ELI LILLY & CO. "	✓							✓										N	✓		
	McDONNELL DOUGLAS CORP. "	✓							✓										N	✓		
	MESA ROYALTY TRUST UBI * "	✓								✓									N	✓		
	PHILIP MORRIS INC. "	✓								✓									N	✓		
	VERMONT MINING CORP. * "	✓							✓										N		✓	
	PENNZOIL CO. * "	✓								✓									N			✓
	POGO PRODUCING CO. * "	✓								✓									N	✓		
	ROYAL DUTCH PETROLEUM CO. * "	✓								✓									N	✓		
	SANTA FE INDUSTRIES INC. * "	✓								✓									N	✓		
	SIGNAL COMPANIES INC. "	✓								✓									N	✓		
	SOUTHERN RAILWAY CO. "	✓								✓									N	✓		

SEE NOTES ON PAGE 16

SF 278 - Financial Disclosure Report, Schedule A
(Rev. 6-80)

INCOME AND INTERESTS IN PROPERTY

	Yes	No
Do you, your spouse, or dependent child receive income from, or have a beneficial interest in a trust?		
If "yes", have you reported the income from the trust?		
If "yes", have you reported the assets of the trust?		
If "yes", is this trust an "excepted" trust? ... or "qualified" trust?		

	Yes	No
Are there any interests in property or liabilities of a spouse or dependent child which you have not reported but which would be reportable if held by you?		
If "yes", do you certify to the following?		
1 They represent solely your spouse's or dependent child's financial interest or responsibility.		
2 They are not, in any way, past or present, derived from your income, assets or activities.		
3 You neither derive, nor expect to derive, any financial or economic benefit from them, and		
4 You do not have knowledge as to the composition of such interests or the entities?		

Part Number: 16

Reporting Individual's Name: JAN W. MARES

Agency: [illegible]

Date of Report: MAY 21 [illegible]

Schedule (By letter) or Supplement (Check box)	Identification	Income: Type of Income (✓) Dividends	Rent	Interest	Capital Gains Realized	Capital Gains Received	Other Trust	Other (Specify)	Income: Category of Amount or Value (✓) None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$1,000,000	Over $1,000,000	Estimated Annual Income	Date (Mo. Day Yr.) Only if Honoraria	Liabilities: [illegible]	[illegible]	[illegible]	[illegible]	[illegible]
	STANDARD OIL CO. OF CALIFORNIA * Common	✓								✓								H		✓				
	STANDARD OIL CO.-INDIANA * "	✓								✓								H			✓			
	TELEDYNE INC. * "								✓									A			✓			
	TEXACO INC. * "	✓								✓								H		✓				
	TEXAS EASTERN CORP. * "	✓								✓								H		✓				
	TEXASGULF INC. * "	✓								✓								H		✓				
	CURRENT INTEREST FUND - ROTAN MOSLE			✓						✓								H		✓				
	ENERGY RESOURCES CO., INC. Warrants	A							✓									A					✓	
	ENERGY RESOURCES CO., INC. Common	A							✓									A						
	ENERGY RESOURCES A.G. "	A							✓									A		✓				
	PFIZER, INC. (SOLD) Common	✓							✓									H		✓				

See Notes on Page 5

*SECURITIES WHICH WILL BE DIVESTED NO LATER THAN 90 DAYS FOLLOWING MY ~~CONFIRMATION BY THE UNITED STATES SENATE~~ ASSUMPTION OF OFFICE.

THE DIVIDEND AND INTEREST INCOME FROM THE TRUST'S CURRENTLY OWNED SECURITIES AND INTERESTS IN PROPERTY FOR THE PERIOD 1/1/80 TO 4/30/80 HAS BEEN CALCULATED AS 113% OF THE ESTIMATED ANNUAL INCOME FOR THESE SECURITIES.

278-104

This schedule, except as noted for the third section, is applicable in the case of all reporting individuals.

Reporting Individual's Name: JAN W. MARES

Agency Use Only (Date of Filing (Month, Day, Year)): MAY 21 1981

Page Number: 17

LIABILITIES

SO / DO	Name and Address of Creditor	Type of Liability (e.g. promissory note, margin account) Give date, interest rate and, if applicable, term	$10000 to $19,999	$20,000 to $99,999	$100,000 to $1,000,000	Over $1,000,000
	UNION CARBIDE CORPORATION 270 PARK AVENUE NEW YORK, NEW YORK 10017	PROMISSORY NOTE DATED 3/10/75 WITH INTEREST AT 4% FOR STOCK PURCHASE - PAID OFF IN MARCH 1980.		✓		

POSITIONS HELD

Name of Organization	Type of Organization	Position Held	From (Mo., Yr.)	To
UNION CARBIDE CORP., ETHYLENE OXIDE DERIVATIVES DIV. OLD RIDGEBURY RD., DANBURY, CONN. (FORMERLY 270 PARK, NYC, NY)	MANUFACTURING	VICE-PRESIDENT/GENERAL MGR. OPERATIONS MGR.	1/1/80 1/1/79	TO DATE 1/1/80
ENERGY RESOURCES CO., INC. 185 ALEWIFE BROOK PARKWAY, CAMBRIDGE, MASS. 02138	SERVICES, R&D	DIRECTOR	10/79	5/18/81
JOSEPH R. MARES TRUST DELIA S. MARES TRUST, Box 686, DICKINSON, TEXAS *	FAMILY TRUSTS	TRUSTEE	4/76	TO DATE
MARES FOUNDATION, BOX 686, DICKINSON, TEXAS *	PRIVATE CHARITABLE FOUNDATION	TRUSTEE	PRIOR TO 1970	TO DATE

COMPENSATION IN EXCESS OF $5,000 PAID BY ONE SOURCE

This section is applicable only in the case of nominees and new entrants.

Name, Address and Business of Source	Brief Description of Duties
UNION CARBIDE CORPORATION OLD RIDGEBURY ROAD DANBURY, CONNECTICUT 06817	GENERAL BUSINESS MANAGER

RELATIONS WITH OTHER EMPLOYERS

Name of Employer	Parties	Date
VESTED PENSION	UNION CARBIDE CORP. - J. W. MARES	9/23/81
POSSIBLE SEVERANCE PAYMENT OR BONUS PAYMENT IN 1982 FOR PRIOR SERVICE TO UNION CARBIDE DURING PERIOD OF EMPLOYMENT.	UNION CARBIDE CORP. - J. W. MARES	

* Will resign as Trustee prior to assumption of office.

Continuation of Question 2, Page 6.

is an "energy concern". I may receive in the first quarter of 1982 a bonus for services performed for Union Carbide in 1981 prior to my assumption of office as provided in the existing Union Carbide bonus program. Under the company plan the maximum that I could receive is $36,400.

Question 3, Page 6.

No assets of mine are pledged, but about July 21, 1981, securities of mine will be pledged to secure a loan to allow my wife and me to purchase a house.

Question 7, Page 6.

My 1978 Federal tax return was audited and I received a "no action" letter after the audit. The Internal Revenue Service also audited my 1972 tax return and changed the year in which payments made for State taxes were deductible for Federal income tax purposes.

AFFIDAVIT

UNITED STATES OF AMERICA
District of Columbia) ss

, being duly sworn, hereby states that he/~~she~~ has read and signed the foregoing Statement for Completion by Presidential Nominees including the Financial Statement and that the information provided therein is, to the best of his/~~her~~ knowledge and belief, current, accurate, and complete.

James W. Moore

Subscribe and sworn before me this 16th day of July , 1981

Edith J. Roberts
Notary Public, in and for D. C.

My Commission expires: October 14, 1984.

U.S. GOVERNMENT PRINTING OFFICE

88-035 O - 82 -- 8

Biography

Anthony G. Sousa

Anthony G. Sousa was born on August 8, 1927, in Hong Kong. Mr. Sousa is a United States citizen who received a Bachelor of Arts degree in 1945 from St. Luiz Gonzaga College in Macau, an island west of Hong Kong. He received a JD law degree in 1966 from University of San Francisco Law School/Lincoln University Law School in San Francisco and a master of law degree from the University of California School of Law in Berkeley, in 1973.

Since 1973, Mr. Sousa has served as the vice-president and general counsel of the Hawaiian Telephone Company in Honolulu. From January 1968 to April 1973, Mr. Sousa was counsel, then senior counsel and finally administrative law judge at the California Public Utilities Commission in San Francisco.

From 1962 to June 1967, Mr. Sousa was the assistant manager for the western regional distribution division of the Thomas J. Lipton, Inc. formerly known as the Lipton Tea Company in San Francisco. As assistant manager, Mr. Sousa was responsible for all traffic transportation and distribution matters including warehousing for all Lipton offices in the entire western United States.

President Reagan announced his intention to nominate Mr. Sousa to a four-year term on the Federal Energy Regulatory Commission on May 8, 1981. Mr. Sousa, if nominated, will replace former Commissioner George Hall. To date, no confirmation hearings have been scheduled.

Mr. Sousa is a member of the California State Bar Association, the Hawaii State Bar Association, and International Bar Association. He is also a member of the Delta Nu Alpha Transportation Fraternity, Chamber of Commerce of Hawaii, the Chinese Chamber of Commerce of Hawaii and the Portuguese Chamber of Commerce of Hawaii.

Mr. Sousa is married to the former Elvira Dos Remedios. The couple has three children.

5/13/81

UNITED STATES SENATE
COMMITTEE ON ENERGY AND NATURAL RESOURCES

STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

Name: SOUSA (LAST) ANTHONY (FIRST) GALDINO (OTHER)

Position to which nominated: Commissioner of FERC

Date of nomination: May 8, 1981

Date of birth: 08 August 1927 (DAY) (MONTH) (YEAR) Place of birth: Hong Kong, B.C.C.

Marital status: Married Full name of spouse: Elvira Maria Sousa

Name and ages of children:
Anthony Joseph Age 30
Maria Lourdes Age 29
Angela Maria Age 26

Education:

Institution	Dates attended	Degrees received	Dates of degrees
University of California School of Law	1972 - 1973	L.L.M.	1973
Univ. of San Francisco/ Lincoln Univ. Law Sch.	1961 - 1966	J.D.	1966
Golden Gate College	1958 - 1961	Diploma	1961
St. Luiz Gonzaga College in Macau, P. C.	1942 - 1945	A.B.	1945
La Salle College, Prep. in Kowloon, Hong Kong	1938 - 1941	High School Diploma	1941

Employment record: List below all positions held since college, including the title and description of job, name of employer, location, and dates.

SEE ATTACHMENT A

ATTACHMENT A

EMPLOYMENT RECORD

FROM	TO	NAME OF EMPLOYER (Firm or agency) AND SUPERVISOR (Full name, if known)	ADDRESS (Where employed)	TYPE OF WORK	REASON FOR LEAVING
Apr 73	Present	Hawaiian Telephone Co. (Donald M. Kuyper)	1177 Bishop St. Honolulu, HI	Vice Pres-Gen. Counsel	
Jan 68	Apr 73	California Public Utilities Commission (Commissioner J. P. Vukasin, Jr.)	McAllister St. San Francisco, CA	Started as Ass't Freight Rate Expert, then Counsel, Senior Counsel & finally Hearing Examiner (Administrative Law Judge)	Career Improvement.
Jul 67	Jan 68	U.S. Steel Corp, (Gordon G. Lloyd)	120 Montgomery St., S.F. CA	Freight Rate Clerk	"
May 59	Jul 67	Thos J. Lipton, Inc. (Fred W. Good)	S.F. CA	Ass't Western Reg Distribution Mgr	"
Jan 59	May 59	Emery Air Freight Corp (Frank Cammozi & James Hawker)	S.F. CA	Air Freight Agent	"
Aug 58	Dec 58	Hong Kong & Shanghai Bank (Calif) Ltd. (Duncan J. Leach)	S.F. CA	Bank Clerk	"
Nov 54	Jul 58	Hong Kong General Chamber of Commerce (Donald W. Leach)	Queen's Rd Central Hong Kong	Trade Promotion & Certification Executive	"
Jan 54	Oct 54	South China Morning Post, Ltd. (Richard W. Labrum)	Wyndham St. Hong Kong	Office Assistant, Printing & Publishing	"
Nov 52	Dec 53	Yue Tsun Land Inv Co.	Tsun Wan, Kowloon New Terr., Hong Kong	Partner	Career Improvement.
Nov 46	Oct 52	CALTEX (Asia) Ltd. (Richard E. Runyon)	Queen's Rd Central Hong Kong	Clerical	"
Dec 45	Oct 46	NAAFI/EFI #4221 Serv Club British USO, Serv Hotel (Club) (Evelyn Wakefield)	Kowloon, Hong Kong	Ass't Mgr.	"

Employment record—Continued

Military service: Enter all military service if not included above: service, dates, rank, type of discharge.

British Air Force Reserve, 1950 - 1958,
Honorable Discharge.

Honors and awards: List below all scholarships, fellowships, honorary degrees, military medals, honorary society memberships, and any other special recognitions for outstanding service or achievement.

None

Memberships: List below all memberships and offices held in professional, fraternal, business, scholarly, civic, charitable and other organizations.

Organization	Office held (if any)	Dates
SEE ATTACHMENT B		

ATTACHMENT B

MEMBERSHIPS

Name in Full	Address	Type	From	To	Office Held
American Bar Assn.	Chicago, Illinois	Professional	1970	Present	None
Calif State Bar Assn.	S.F. California	Professional	1969	Present	None
San Francisco Bar Assn.	S.F. California	Professional	1969	1973	None
San Francisco Lawyers Club	S.F. California	Professional	1969	1972	None
United Macaensis Assn.	S.F. California	Civic	1969	1972	None
Cabrillo Civic Club	S.F. California	Civic	1970	1971	1st Vice Pres.
Delta Nu Alpha Transportation Frat.	S.F. California & Honolulu, Hawaii	Professional	1972	Present	President Currently Asst. Regional V.P.
National Defense Transportation Assn.	S.F. California	Professional	1972	1973	None
Hawaii State Bar Assn.	Honolulu, Hawaii	Professional	1975	Present	None
Chamber of Commerce of Hawaii (Also member of its World Trade Association)	Honolulu, Hawaii	Professional	1973	Present	None
Chinese Chamber of Commerce of Hawaii	Honolulu, Hawaii	Professional	1976	Present	Presently Director
Portuguese Chamber of Commerce of Hawaii	Honolulu, Hawaii	Professional	1979	Present	None
International Bar Assn.	London, England	Professional	1980	Present	None

Published writings: List the titles, publishers and dates of any books, articles, or reports you have written.

None

Qualifications: State fully your qualifications to serve in the position to which you have been named. (attach sheet) SEE ATTACHMENT C

Future employment relationships:

1. Indicate whether you will sever all connections with your present employer, business firm, association or organization if you are confirmed by the Senate.

I will sever all connections with my present employer.

2. As far as can be foreseen, state whether you have any plans after completing government service to resume employment, affiliation or practice with your current or any previous employer, business firm, association or organization.

I have no plans or arrangements to resume employment with my current or any of my previous employers.

3. Has anybody made you a commitment to a job after you leave government?

I have not received any commitment of a job offer after I leave government.

4. (a) If you have been appointed for a fixed term, do you expect to serve the full term?

I have been appointed for a fixed term of four years and expect to serve the full term.

(b) If you have been appointed for an indefinite term, do you have any known limitations on your willingness or ability to serve for the foreseeable future?

Potential conflicts of interest:

1. Describe any financial arrangements or deferred compensation agreements or other continuing dealings with business associates, clients or customers who will be affected by policies which you will influence in the position to which you have been nominated.

I have made no financial arrangements or deferred compensation agreements with my current employer other than that my 8-year period of service with my current employer will vest and upon reaching the age of 60 I will receive approximately $50 a month pension based on that service.

2. List any investments, obligations, liabilities, or other relationships which might involve potential conflicts of interest with the position to which you have been nominated.

I had ownership of a 6-month interest bearing thrift investment certificate with GECC Financial Corporation, a Hawaii corporation, which is owned by General Electric Credit Corporation, which in turn is a wholly-owned nonconsolidated finance affiliate of General Electric Company. When informed by Mr. John Morrison, Legal Counsel of FERC, that § 602.9 of the DOE Act and DOE regulations prohibit supervisory employees of FERC from having a pecuniary interest in an energy concern, I offered to divest myself of this investment certificate and in fact on June 3, 1981, I did cancel this certificate and divested myself of this investment.

ATTACHMENT C

QUALIFICATIONS

In addition to graduation from law school and admission to the Bars of California and Hawaii, I have obtained a master of laws degree from Boalt Hall, University of Calfironia, in public utility regulation and antitrust law. My entire legal career dating back to 1966 has been in the area of public utility regulation and public utility law.

At the California Public Utilities Commission where I worked from January 1968 to April 1973, I started first as Assistant Freight Rate Expert, then Counsel, Senior Counsel and finally Hearings Examiner (Administrative Law Judge). During the better part of that period, I was Administrative and Legal Assistant to the Chairman of the Commission and while at the Commission my experience there qualified me to serve in the position to which I have been named. Additionally, since 1973, as Vice President - General Counsel of Hawaiian Telephone Company with responsibility for the total legal function of a large utility, my major sphere of responsibility has been in public utility regulation and public utility law and in my opinion would fully qualify me to serve in the position to which I have been named.

3. Describe any business relationship, dealing or financial transaction (other than tax-paying) which you have had during the last 10 years with the Federal Government, whether for yourself or relatives, on behalf of a client, or acting as an agent, that might in any way constitute or result in a possible conflict of interest with the position to which you have been nominated.

None

4. List and describe any lobbying activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation at the national level of government or for the purpose of affecting the administration and execution of national law or public policy.

None

5. Explain how you will resolve any potential conflict of interest that may be disclosed by your responses to the above items.

As stated above, I do not have any potential conflicts of interest but if any were to arise in any manner whatsoever, I would take steps to eliminate those conflicts immediately

6. Explain how you will comply with conflict of interest laws and regulations applicable to the position for which you have been nominated. Attach a statement from the appropriate agency official indicating what those laws and regulations are and how you will comply with them.

SEE ATTACHMENT D

FEDERAL ENERGY REGULATORY COMMISSION

WASHINGTON 20426

June 11, 1981

Anthony G. Sousa
1177 Bishop Street
Honolulu, Hawaii 96813

Dear Mr. Sousa:

This letter is intended to serve as the statement from the designated agency ethics official of this Commission required by Question Six (Page Five) of the Statement of Information requested of Presidential Nominees that you are submitting to the United States Senate Committee on Energy and Natural Resources. I have reviewed your Standard Form 278 (Financial Disclosure Report) dated April 18, 1981, and have issued my opinion dated May 20, 1981, to J. Walter Jackson, Director, Office of Government Ethics, in connection with that review as required by Office of Personnel Management regulations.

As we have discussed by telephone, Section 602(a) of the DOE Act prohibits supervisory employees from knowingly receiving compensation from, holding any official relation with, or having any pecuniary interest in any energy concern. The term "energy concern" is defined in Section 601(b) of the DOE Act to include any entity "significantly engaged in the business" of energy development, extraction, production, refining, transportation, distribution, sale, or significantly engaged in conducting research and development related to these activities and any entity significantly engaged in research, development or demonstrational pursuant to a DOE funded program. The term also includes any entity holding an interest in property from which coal, natural gas, crude oil, nuclear material or renewable resource is commercially produced or obtained.

Additionally, Section One of the Federal Power Act prohibits Commissioners from holding any official relation to any licensee or to any person, firm, association, or corporation engaged in the generation, transmission, distribution, or sale of power, or owning stocks or bonds thereof, or from being in any manner pecuniarily interested therein. This prohibition is applied as a matter of Commission policy to like interests in natural gas companies. 18 C.F.R. §3c.204(b)(2).

Further, Section 208, Title 18, United States Code, and applicable Commission regulations, 18 C.F.R. §3c.204(b)(3) prohibit a Commissioner from participating personally and substantially, as a Government employee, in any particular matter in which the Commissioner, the Commissioner's spouse, minor child, partner, organization in which the Commissioner is serving as officer, director, trustee, partner, or employee, or any person or organization with whom the Commissioner is negotiating or has any arrangement concerning prospective employment, has a financial interest. This is interpreted to mean Government employees should avoid participation in any particular matter the outcome of which would have a direct and predictable effect on any financial interests that such persons may have.

Finally, the Standards of Conduct for Commissioners are contained in Commission Regulations, 18 C.F.R. Part 3c, Subpart C, and the Commission's Division of Legal Counsel, Office of General Counsel, is available for counseling as specific questions arise.

If I may be of further assistance to you in this regard, please do not hesitate to let me know.

Very truly yours,

John C. Morrison

John C. Morrison
Designated Agency Ethics Official

MAY 2 1 1981

ATTACHMENT D

FEDERAL ENERGY REGULATORY COMMISSION
WASHINGTON 20426
May 20, 1981

HAND DELIVERED

J. Jackson Walter, Director
Office of Government Ethics
1714 H Street, N.W.
Washington, D.C. 20415

Dear Mr. Walter:

This letter is to advise you that I have received and reviewed the Executive Personnel Financial Disclosure Report, Form 278, of Mr. Anthony G. Sousa, a copy of which is enclosed. This form discloses ownership of a six-month interest bearing Thrift Investment Certificate with G.E.C.C. Financial Corporation, a Hawaiian corporation, which is owned by General Electric Credit Corporation, a wholly-owned nonconsolidated finance affiliate of General Electric Company. The General Electric Company has been identified by the Department of Energy (DOE) as an energy concern as required by Section 601 of the Department of Energy Organization Act, P.L. 95-91 (DOE Act). Section 602(a) of the DOE Act and DOE regulations applicable to the Federal Energy Regulatory Commission (Commission) prohibit supervisory employees from having, among other things, a pecuniary interest in an energy concern. When informed of this provision of the DOE Act, Mr. Sousa offered to divest of this particular Thrift Investiment Certificate in order to avoid even the slightest appearance of a potential conflict of interest.

Given Mr. Sousa's undertaking, I can state without qualification that my review of this form, including the technical amendments made after discussions with Mr. Sousa, do not disclose ownership of any asset which could give rise to a conflict of interest under the DOE Act, the Commission's Standards of Conduct for Commissioners or other conflict of interest laws generally applicable to Federal government officials.

I am also enclosing a copy of the position description as required by the financial disclosure regulations of your office. I will be happy to provide any further assistance you may find helpful.

Very truly yours,

John C. Morrison
Legal Counsel

Enclosures

Financial statement:

1. Attach a copy of your Executive Personnel Financial Disclosure Report (SF 278).

2. List sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services and firm memberships or from former employers, clients, and customers. Amounts should be indicated by the categories established for reporting income on Form SF 278, Schedule A.

None, except a $50 per month pension which I will receive upon reaching the age of 60 based on my 8-year service with my current employer.

3. Are any assets pledged? (Add schedule.)

None

4. Are you currently a party to any legal action?

No

5. Have you ever declared bankruptcy?

No

6. Have you filed a Federal income tax return for each of the last 10 years? If not, please explain.

Yes

7. Has the Internal Revenue Service ever audited your Federal tax return? If so, what resulted from the audit?

I have never been subjected to a full audit by the Internal Revenue Service in the past, other than that I have been assessed additional income tax based on their review of my returns, approximately twice in the last 10 years, which I have fully paid.

United States of America
Office of
Government Ethics

Office of Personnel Management
Washington, D.C. 20415

JUL 2 1981

Honorable James A. McClure
Chairman, Committee on Energy
and Natural Resources
United States Senate
Washington, D.C. 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Anthony G. Sousa, who has been nominated by President Reagan for the position of Commissioner of the Federal Energy Regulatory Commission.

We have reviewed the report and have also obtained advice from the Federal Energy Regulatory Commission concerning any possible conflict in light of the Commission's functions and the nominee's proposed duties. We understand that Mr. Sousa has divested himself of his Thrift Investment Certificate with the G.E.C.C. Financial Corporation, which is a finance affiliate of General Electric Company, an energy concern. Based thereon, we believe that Mr. Sousa is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Jackson Walter

J. Jackson Walter
Director

Enclosure

FINANCIAL DISCLOSURE REPORT

0266 T2/NS (1) Page 1

Report Status (Check Appropriate Box)

☐ Incumbent ☑ New Entrant, Nominee, or Candidate ☐ Termination Report

NOTE
All schedules must be filed. Enter "None" in areas or across schedules where appropriate.

Agency Use Only	OGE Use Only
Date of Filing (Month, Day, Year) 5/11/81	

	Last Name	First Name and Middle Initial	Date of Appointment, Candidacy, Election or Nomination (Mo., Day, Yr.)	Termination Date (If Applicable) (Month, Day, Year)
Reporting Individual's Name	SOUSA	ANTHONY G.		
Position for Which Filing	Title of Position: COMMISSIONER	Department or Agency (If Applicable): FEDERAL ENERGY REGULATORY COMMISSION		
Location of Present Office	Address (Number, Street, City, State and Zip Code): 1177 BISHOP STREET HONOLULU, HAWAII 96813* WASHINGTON, D.C.		Room Number	Telephone No. (Include Area Code): (808) 546-5466*

	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust?
Presidential Nominees Subject to Senate Confirmation	SENATE ENERGY RESOURCES COMMITTEE.	☐ Yes ☑ No

	Title of Position(s) and Date(s) Held
Position(s) Held With the Federal Government During the Preceding 12 Months (If Not Same as Above)	NONE.

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	A G Sousa	4/18/81.

	Signature of Designated Agency Ethics Official/Reviewing Official	Date (Month, Day, Year)
Agency Ethics Official's Opinion: The information contained in this report discloses no conflict of interest under applicable laws and regulations		
Office of Government Ethics Use Only	Signature	Date (Month, Day, Year)

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

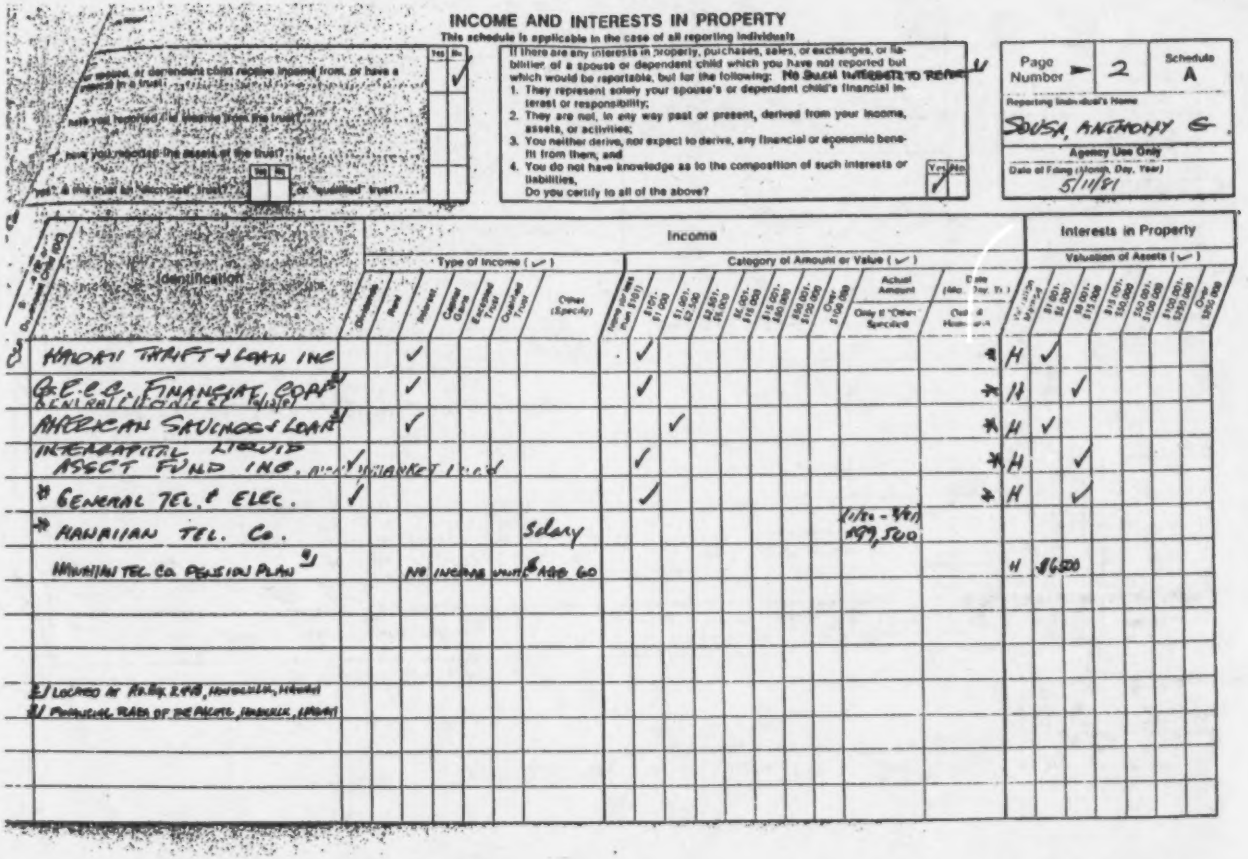
* All items marked w/ * added per Sousa's direction in interview on 5/1/81.

Peter J. Anthony
Office of Counsel to the President

1/ CONFIRMED DURING TELEPHONE DISCUSSION BETWEEN JOHN MORRISON AND MR. SOUSA.
2/ & 3/ ADDRESSES ADDED AT DIRECTION OF OFFICE OF GOVERNMENT ETHICS.
4/ NOTED AT DIRECTION OF MR. SOUSA.

(Check box if comments are continued on the reverse side) ☐

278 105



INCOME AND INTERESTS IN PROPERTY

This schedule is applicable in the case of all reporting individuals

If spouse, or dependent child receive income from, or have a interest in a trust:

	Yes	No
...have you reported (or income from the trust?		✓
...have you reported the assets of the trust?		
...is this trust an "excepted" trust?		
...or "qualified" trust?		

If there are any interests in property, purchases, sales, or exchanges, or liabilities of a spouse or dependent child which you have not reported but which would be reportable, but for the following: NO SUCH INTERESTS TO REPORT

1. They represent solely your spouse's or dependent child's financial interest or responsibility;
2. They are not, in any way past or present, derived from your income, assets, or activities;
3. You neither derive, nor expect to derive, any financial or economic benefit from them, and
4. You do not have knowledge as to the composition of such interests or liabilities,

Do you certify to all of the above? Yes ✓ No

Page Number 2 — Schedule A

Reporting Individual's Name: SOUSA, ANTHONY G

Agency Use Only

Date of Filing (Month, Day, Year): 5/11/81

Identification	Income: Type of Income (✓)							Income: Category of Amount or Value (✓)										Interests in Property: Valuation of Assets (✓)						
	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify)	None (or less than $201)	$201-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	Over $250,000	Actual Amount (Only if "Other" Specified)	Date (Mo., Day, Yr.) (Only if "Other" Specified)	None (or less than $1,001)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	Over $500,000
HAWAII THRIFT & LOAN INC			✓					✓											H	✓					
G.E.C.C. FINANCIAL CORP (GENERAL ELECTRIC CREDIT CO.) [1]			✓					✓											H		✓				
AMERICAN SAVINGS & LOAN [2]			✓						✓										H	✓					
INTERNATIONAL LIQUID ASSET FUND INC.	✓	MONEY MARKET FUND						✓											H		✓				
* GENERAL TEL. & ELEC.	✓							✓											H		✓				
* HAWAIIAN TEL. CO.							Salary										1/1/80 - 5/11/81 $29,500								
HAWAIIAN TEL. CO. PENSION PLAN [3]			NO INCOME UNTIL AGE 60																H	$6500					

[1] LOCATED AT P.O. Box 2248, HONOLULU, HAWAII

[2] FINANCIAL PLAZA OF THE PACIFIC, HONOLULU, HAWAII

PURCHASES, SALES, AND EXCHANGES

This schedule is applicable only in the case of annual and termination reports.

Page Number 3 | Schedule B

Reporting Individual's Name: SOUSA, ANTHONY G

Agency Use Only

Date of Filing (Month, Day, Year): 5/11/81

Applicable Transactions, Even if Also Reported on Schedule A

Identification of Property (real and personal)	Type of Transaction			Date (Month, Day, Year)		Category of Amount or Value (✓)					
	Purchase	Sale	Exchange	Purchase	Sale or Exchange	$1,001 to $5,000	$5,001 to $15,000	$15,001 to $50,000	$50,001 to $100,000	$100,001 to $250,000	
~~NONE~~											
1000 SHARES HORIZON CORP STOCK	✓			OCT. 1979			✓				
— " —		✓			SEP. 1980		✓				
* NOT APPLICABLE / NEW APPOINTEE											

GIFTS AND REIMBURSEMENTS

This schedule is applicable only in the case of annual and termination reports.

Page Number ► 4

Reporting Individual's Name: SO JOE, AN THOMAS

Agency Use Only

Date of Filing (Month, Day, Year): 5/11/81

Lodging, Transportation, Food and Entertainment - List each source totaling $250 or more in value

No.	Source (Name and Address)	Brief Description	Value
	NONE.		
	* NOT APPLICABLE/NON-APPOINTEE		

Income Other Than Gifts - List each source totaling $250 or more in value

No.	Source (Name and Address)	Brief Description	Value

III Reimbursements - List each source totaling $250 or more in value

No.	Source (Name and Address)	Brief Description	Value

Reporting Individual's Name: SOUSA, ANTHONY G.

Agency Use Only — Date of Filing (Month, Day, Year): 4/30/81

Page Number: 5

Name and Address of Creditor	Type of Liability (e.g., promissory note, margin account) Give date, interest rate and, if applicable, terms	Amount of Liability: $10,001 to $15,000	$15,001 to $50,000	$50,001 to $100,000	$100,001 to $250,000	Over $250,000
NONE.						

POSITIONS HELD

Name and Address of Organization	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
HAWAIIAN TELEPHONE COMPANY 1177 BISHOP ST. HONOLULU, HI. 96813.	TELECOMMUNICATIONS COMPANY.	VICE PRESIDENT/ GENERAL COUNSEL	APR. 1973	TO PRESE
(HAWAII) CHINESE CHAMBER OF COMMERCE	CHAMBER OF COMMERCE.	DIRECTOR	1978	—11—
DELTA NU ALPHA TRANSPORTATION FRATERNITY	FRATERNAL	11	1979	—11—
CORPORATE COUNSEL SECTION, HAWAII STATE BAR ASSOCIATION	PROFESSIONAL	CHAIRMAN	JAN. 1980	DEC. 198

COMPENSATION IN EXCESS OF $10,000 PAID BY ONE SOURCE (This information is applicable only in the case of nominees and new entrants.

Source (Name and Address)	Brief Description of Duties
HAWAIIAN TELEPHONE COMPANY 1177 BISHOP ST. HONOLULU	GENERAL COUNSEL FOR THE COMPANY (FULL TIME EMPLOYMENT). [SALARY]

RELATIONS WITH OTHER EMPLOYERS

Description of Terms of Any Agreement or Arrangement	Parties	Date
~~NONE~~		
HAWAIIAN TELEPHONE COMPANY PENSION PLAN CONSISTING OF CONTRIBUTIONS MADE UPON EMPLOY	ANTHONY G. SOUSA & HAWAIIAN Telephone Company	EMPLOYM 1973
WITH EIGHT YEARS OF SERVICE WITH THE Company AT AGE SIXTY PAYMENTS WILL COMMENCE.		

STATE OF HAWAII
CITY & COUNTY
OF HONOLULU) ss

AFFIDAVIT

Anthony G. Sousa, being duly sworn, hereby states that he/she has read and signed the foregoing Statement for Completion by Presidential Nominees including the Financial Statement and that the information provided therein is, to the best of his/her knowledge and belief, current, accurate, and complete.

A G Sousa

Subscribe and sworn before me this 5th day of June, 1981

Julia Takata
Notary Public

My commission expires: March 14, 1984.

88-035 O - 82 -- 10

ALVIN W. TRIVELPIECE

Dr. Alvin W. Trivelpiece is the Director, designate, of the Office of Energy Research, U.S. Department of Energy (DOE). In this position, Dr. Trivelpiece would serve as technical adviser to the Secretary on the Department's energy research and development programs and be responsible for the multi-purpose laboratories and energy education and training activities. In addition, he would manage DOE's programs for basic energy research, health and environmental research, high energy and nuclear physics, and magnetic fusion.

Dr. Trivelpiece has extensive experience in the areas of plasma physics and fusion research. Since 1978, he has been Corporate Vice President of Science Applications, Inc., of La Jolla, California, primarily responsible for internal research programs relative to innovative technical developments. From 1976 to 1978, he was Vice President for Engineering and Research at Maxwell Laboratories, San Diego, California.

During the period 1973 to 1975, Dr. Trivelpiece served with the U.S. Atomic Energy Commission as Assistant Director for Research in the Division of Controlled Thermonuclear Research. Prior to joining the Federal Government, he was Professor of Physics at the University of Maryland, serving in that capacity from 1966 to 1976. From 1959 to 1966, he was a professor at the University of California at Berkeley in the Department of Electrical Engineering.

He received a B.S. degree from California Polytechnic State University in 1953, an M.S. degree in 1955, and a Ph.D. degree in 1958. Both advanced degrees were awarded by the California Institute of Technology.

The recipient of several honors and awards, Dr. Trivelpiece is listed in American Men and Women of Science, Who's Who in America, and Who's Who in the World. He holds several patents in the area of physics research and is the author and co-author of over 100 technical reports and books. Dr. Trivelpiece is a member of numerous professional organizations and is a Fellow of the American Physical Society, the Institute of Electronics and Electrical Engineers, and the American Association for the Advancement of Science. He has served as a consultant to various private associations and Government agencies and has lectured at conferences and universities throughout the United States and abroad.

Dr. Trivelpiece was born in Stockton, California. He is married and has three children.

July 1981

UNITED STATES SENATE
COMMITTEE ON ENERGY AND NATURAL RESOURCES

STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

Name: TRIVELPIECE (LAST) ALVIN (FIRST) WILLIAM (OTHER)

Position to which nominated: Director, Office of Energy Research Date of nomination:

Date of birth: 15 (DAY) March (MONTH) 1931 (YEAR) Place of birth: Stockton, California

Marital status: Married Full name of spouse: Shirley Ann (nee Ross) Trivelpiece

Name and ages of children: Craig Evan Trivelpiece, 24 years
Steve Edward Trivelpiece, 21 years
Keith Eric Trivelpiece, 18 years

Education:

Institution	Dates attended	Degrees received	Dates of degrees
California Polytechnic State University, San Luis Obispo, CA	1949-53	B.S.	1953
Caltech, Pasadena, CA	1953-55	M.S.	1955
Caltech, Pasadena, CA	1955-58	Ph.D.	1958

Employment record: List below all positions held since college, including the title and description of job, name of employer, location, and dates.

See attachment 1.

Attachment 1 -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

EMPLOYMENT RECORD:

Employer:	Science Applications, Inc. La Jolla, California
Dates:	From June 1978 to Present
Title:	Corporate Vice President
Job Description:	Corporate level technical and managerial responsibilities reporting directly to the President of SAI.
Employer:	Exxon Nuclear Company Bellevue, Washington
Dates:	From April 1978 to June 1978
Title:	Manager, Process Physics
Job Description:	Responsible for physics research program on Laser Isotope Separation Project.
Employer:	Maxwell Laboratories, Inc. San Diego, California
Dates:	From August 1976 to April 1978
Title:	Vice President for Engineering and Research
Job Description:	Responsible for the Direction of the research and engineering activities at Maxwell Laboratories. This involved high current, high voltage radiation simulation sources.
Employer:	University of Maryland College Park, Maryland
Dates:	From August 1966 to August 1976
Title:	Professor of Physics
Job Description:	Teaching, Research, and other traditional duties of a University faculty member.

Attachment 1 (Continued) (Page 2) -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

EMPLOYMENT RECORD:

Employer:	U.S. Atomic Energy Commission Washington, D.C.
Dates:	January 1973 to January 1975 (on leave from the University of Maryland)
Title:	Assistant Director for Research in the Division of Controlled Thermonuclear Research
Job Description:	Responsible for U.S. Fusion programs, theoretical plasma physics studies and the university fusion research program. Started the National Magnetic Fusion Energy Computer Center at the Lawrence Livermore National Laboratory.
Employer:	University of California Berkeley, California
Dates:	From July 1959 to 1966
Title:	Assistant (1959 to 1963), Associate (1963 to 1966), Professor of Electrical Engineering
Job Description:	Teaching, Research, and other traditional duties of a University faculty member.

Employment record—Continued

Military service: Enter all military service if not included above: service, dates, rank, type of discharge.

None

Honors and awards: List below all scholarships, fellowships, honorary degrees, military medals, honorary society memberships, and any other special recognitions for outstanding service or achievement.

Blue Key Honor Society, California State Polytechnic College, San Luis Obispo, California, 1952
Fulbright Scholar, Technische Hogeschool, Delft, Netherlands, 1958
Guggenheim Fellowship, 1966
Fellow, American Physical Society, 1967
Fellow, American Association for the Advancement of Science, 1975
Distinguished Alumnus for 1978, California Polytechnic State University, San Luis Obispo, California
Fellow, Institute of Electrical and Electronic Engineers, 1980
Listed in WHO'S WHO IN AMERICA, THE WORLD, and FINANCE & INDUSTRY
Listed in AMERICAN MEN AND WOMEN OF SCIENCE.

Memberships: List below all memberships and offices held in professional, fraternal, business, scholarly, civic, charitable and other organizations.

Organization	Office held (if any)	Dates
See attachment 2.		

Attachment 2 -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

MEMBERSHIPS:

Organization	Office Held (if any)	Dates
American Physical Society	Chairman, Division of Plasma Physics	1958 to Present
Institute of Electrical and Electronic Engineers	Member, Executive Committee of NPSS Section	1953 to Present
American Association for the Advancement of Science	Member, Physics Section Executive Committee	1955 to Present
Sigma Xi	None	1955 to Present
American Nuclear Society	None	1974 to Present
Americans for Energy Independence	None	1975 to Present
American Association of Physics Teachers	None	1970 to Present
New York Academy of Sciences	None	1976 to Present
Delta Sigma Phi	None	1951 to Present
La Jolla Chamber Music Society	Director	1980 to Present
American Association of University Professors	None	1970 to Present
Washington Philosophical Society	None	1968 to 1980

Published writings: List the titles, publishers and dates of any books, articles, or reports you have written.

See attachment 3.

Attachment 3 -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

PUBLISHED WRITINGS:

"A New Mode of Wave Propagation on Electron Beams," with R. W. Gould, Proceedings of the Brooklyn Polytechnique Institute Symposium on Electronic Wave Guides, April 1958.

"Electro-Mechanical Modes in a Plasma," with R. W. Gould, Proceedings on Electrical Engineers, 105, 1958.

"Space Charge Waves in Cylindrical Plasma Columns," with R. W. Gould, J. Appl. Phys. 30, 1784 (1959).

"Backward Waves in Longitudinally Magnetized Ferrite Rods," with A. Ignatius and B. Holscher, J. Appl. Phys. 32, 259 (1961).

"Space Charge Waves and Plasma Diagnostics," Proceedings of 2nd Annual Conference on Engineering Aspects of Magnetohydrodynamics, 1961.

"Cyclotron Wave Nonconvective Instability," with B. J. Maxum, Proceedings of the 5th Conference on Ionization Phenomena on Gases, Munich, 1961.

"Interaction of an Electron Beam with the Backward Wave Mode in a Ferrite Rod," Proceedings of 3rd International Conference on an Electron Tube Research, Munich, 1960.

"The Dynamic Pinch as a High Intensity Light Source for Optical Laser Pumping," with S. A. Colgate, Advanced in Quantum Electronics, Columbia University Press, New York, 1961.

"Backward Waves in Longitudinally Magnetized Ferrite Rods," with J. Spector, J. Appl. Phys. 33, 2142 (1962).

"Slow Waves in Ferrites and Their Interactions with Electron Streams," J. Appl. Phys. 35, 2030 (1964).

"Measurement of the Synchrotron Radiation Spectrum for a Hot Plasma," with A. J. Lichtenberg and S. Sesnic, Phys. Rev. Lett. 13, 387 (1964).

"Synchrotron Radiation Measurements from a Plasma in a Magnetic Mirror Machine," with S. A. Colgate, A. J. Lichtenberg, S. Sesnic, Phys. Fluids 7, 1549 (1964).

"Two-Stream Cyclotron and Plasma Wave Instabilities," with B. J. Maxum, J. Appl. Phys. 36, 481 (1965).

"Quasi-Static Analysis of Waves in a Plasma Filled Waveguide," with J. Scharer, J. Appl. Phys. 36, 318 (1965).

Attachment 3 (Continued) (Page 2) -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

PUBLISHED WRITINGS:

"Absolute Intensity of Synchrotron Radiation Spectrum from a Hot Electron Plasma," with A. J. Lichtenberg and S. Sesnic, Proceedings of the 7th International Conference on Phenomena in Ionized Gases, Belgrad, August 1965.

"Adiabatic Containment of Charge Particles in Combined Mirror Multipole Cusp Magnetic Fields, with J. Siambis, Phys. Fluids 8, 2047 (1966).

"A Rotating Plasma as a Source for Injection into a Magnetic Mirror," with H. K. Forsen, Phys. Fluids 9, 1022 (1966).

"Electromagnetic Wave Scattering from a High Temperature Plasma," with R. E. Pechacek, Phys. Fluids 10, 1688 (1967).

"Cyclotron Wave Instabilities in a Plasma," with J. Scharer, Phys. Fluids 10, 591 (1967).

"Synchrotron Radiation Experiments with a Hot Electron Plasma," with S. Sesnic, A. J. Lichtenberg and D. Tuma, Phys. Fluids 11, 2025 (1968).

"Charged Particle Motion in Large Amplitude Electromagnetic Fields," with H. Jory, J. Appl. Phys. 39, 3053 (1968).

"Traping of a 0.5 MeV Electron Ring in a 15 kG Pulsed Magnetic Mirror Field," with R. E. Pechacek and C. A. Kapetanakos, Phys. Rev. Lett. 21, 2651 (1969).

"Exact Relativistic Solution for the One-Dimensional Diode," with H. R. Jory, J. Appl. Phys. 40, 3924 (1969).

"Electromagnetic Wave Scattering from a Magnetically Confined High- Temperature Plasma," with S. F. Nee and R. E. Pechacek, Phys. Fluids 12, 2651 (1969).

"Scattering of a Laser Beam by a 50 kV electron Beam," with Gray Ward and R. E. Pechacek, Phys. Rev., May 1971.

"Diagnostics of Non-Neutral Plasmas Using an Induced Current Electrostatic Probe," with C. A. Kapetanakos, J. Appl. Phys. 42, 4841 (1971).

"Trapping and Confinement of Non-Neutral Hot Electron Clouds in a Magnetic Mirror," with C. A. Kapetanakos, R. E. Pechacek, and D. M. Spero, Phys. Fluids 14, 1555 (1971).

"Nonneutral Plasmas," in Comments on Plasma Physics and Controlled Fusion Research, Gordon and Breach 1, 57 (1972).

"Space Averaged Quasilinear Theory," with N. A. Krall and R. C. Davidson, in Comments on Plasma Physics and Controlled Fusion Research, Gordon and Breach 1, 63 (1972).

"Numercial Studies of Charged Particle Trapping in a Time Varying Magnetic Mirror Field," with C. A. Kapetanakos, Plasma Physics 15, 317 (1973).

Attachment 3 (Continued) (Page 3) -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

PUBLISHED WRITINGS:

"Drift Motion and Adiabatic Invariance of Magnetic Moment in a Nonstatic Magnetic Field," with C. A. Kapetanakos, Plasma Physics 15, 317 (1973).

"Synchrotron Radiation from a Magnetically-Confined Nonneutral Hot Electron Plasma," with S. F. Nee and R. E. Pechacek, Phys. Fluids 16, 502 (1973).

"Comparison of the Hot Electron Plasmas Produced Using Two Different Plasma Sources in a Magnetic Mirror Compression Experiment," with C. P. DeNeef and R. E. Pechacek, Phys. Fluids 16, 509 (1973).

"A Bandpass Filter System for Far Infrared Radiation Measurements," with S. F. Nee, Rev. Sci. Inst. 44, 916 (1973).

"Rigid Rotor Equilibria of Nonneutral Plasmas," with A. J. Theiss and R. A. Mahaffey, Phys. Rev. Lett. 35, 1436 (1975).

"Envelopes of Nonneutral Plasma Column," with R. A. Mahaffey, S. A. Goldstein, and R. C. Davidson, Phys. Rev. Lett. 35, 1439 (1975).

"Parametric Excitation of Nonneutral Plasma Surface Ripples," with R. A. Mahaffey and D. B. Batchelor, J. Appl. Phys. 47, 4464 (1976).

"Nonneutral Electron Plasma with 2.5 MeV Near Energy," with C. M. Armstrong and D. A. Hammer, Phys. Lett. 55A, 413 (1976).

"Synchrotron Radiation from the ATC Tokamak Plasma," with D. A. Boyd and F. J. Stauffer, Phys. Rev. Lett. 37, 98 (1976).

"An Algorithm to Determine Electron Energy Distributions from Synchrotron Radiation Measurements," with F. J. Stauffer, D. A. Boyd, Phys. Rev. Lett. 57A, 401 (1976).

"Parametric Excitation of Equilibrium Surface Ripples on Magnetically Confined Nonneutral Plasma Columns," with R. A. Mahaffey, Phys. Fluids 20, 459 (1977).

"Rigid-Rotor Equilibria and Wave Propagation Characteristics of Magnetically Confined Nonneutral Plasmas," with A. J. Theiss and R. A. Mahaffey, Phys. Fluids 20, 785 (1977).

"Synchrotron Emission from Tokamak Plasmas," with D. Boyd, C. Celata, R. Davidson, C. Liu, Y. Mok, W. Rutgers, and F. Stauffer, in Plasma Physics and Controlled Nuclear Fusion Research 1976 (Proc. 6th Intl. Conf. Berchtesgade, 1976) 1, 399 IAEA, Vienna (1977).

"Electron Energy Distribution of a Mirror Confined Relativistic Plasma Inferred from Synchrotron Radiation Measurements," with G. D. Tsakiris, D. A. Boyd, and D. A. Hammer, Phys. Fluids 21, 2050 (1978).

"Properties of an RF Produced Magnetically Confined Nonneutral Hot Electron Plasma," with N. C. Luhmann, Phys. Fluids 21, 2038 (1978).

ATTACHMENT 3 (Continued) (Page 4) -- ALVIN W. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

PUBLISHED WRITINGS:

Books:

"Slow Wave Propagation in Plasma Wave Guides," San Francisco Press (1966).

"Principles of Plasma Physics," McGraw Hill, International Series in Pure and Applied Physics (1973); co-author, N. A. Krall.

Conferences, presentations, and lectures:

Over 100 invited papers, contributed papers, and lectures at conferences and universities in the U.S. and several other countries.

Patents

"Traveling Wave Tube," U.S. Patent No. 3,110,839, November 12, 1963.

"Method and Apparatus for Dynamic Pinch Pulse Maser Pumping," with Stirling A. Colgate, U.S. Patent No. 3,209,281, September 28, 1965.

"Cyclotron Motion Linear Accelerator," with Joseph Feinstein and Howard R. Jory, U.S. Patent No. 3,450,931, June 17, 1969.

"Charged Particle Accelerator Apparatus Including Means for Converting a Rotating Helical Beam of Charged Particles Having Axial Motion into a Non-Rotating Beam of Charged Particles," with Howard R. Jory, U.S. Patent No, 3,463,959, August 25, 1969.

Qualifications: State fully your qualifications to serve in the position to which you have been named.
(attach sheet) See attachment 4.

Future employment relationships:

1. Indicate whether you will sever all connections with your present employer, business firm, association or organization if you are confirmed by the Senate.

Yes, I will sever all connections with Science Applications, Inc., if I am confirmed by the Senate.

2. As far as can be foreseen, state whether you have any plans after completing government service to resume employment, affiliation or practice with your current or any previous employer, business firm, association or organization.

I have no plans to resume employment with my current or any previous employer.

3. Has anybody made you a commitment to a job after you leave government?

No.

4. (a) If you have been appointed for a fixed term, do you expect to serve the full term?

N/A

(b) If you have been appointed for an indefinite term, do you have any known limitations on your willingness or ability to serve for the foreseeable future?

None

Potential conflicts of interest:

1. Describe any financial arrangements or deferred compensation agreements or other continuing dealings with business associates, clients or customers who will be affected by policies which you will influence in the position to which you have been nominated.

None

2. List any investments, obligations, liabilities, or other relationships which might involve potential conflicts of interest with the position to which you have been nominated.

None

Attachment 4 -- ALVIN M. TRIVELPIECE

UNITED STATES SENATE COMMITTEE ON ENERGY AND NATURAL RESOURCES
STATEMENT FOR COMPLETION BY PRESIDENTIAL NOMINEES

QUALIFICATIONS:

The activities associated with the post of Director of the Office of Energy Research can be grouped into two main categories. One category involves the responsibility to advise the Secretary of Energy on various aspects of the research and development programs that the Department funds, and to provide such advice on other related programs as the Secretary may require. The other main category involves the responsibility to manage the comprehensive research and development programs funded through the Office of Energy Research. To do an effective job and meet these responsibilities, I believe that the Director of the Office of Energy Research should have broad experience and knowledge in various areas of science and technology, should have an established reputation as a scientist or engineer based on theoretical or experimental studies in one or more specific fields of research, should have some experience in line management that includes budgetary control and personnel management, and should have some general knowledge or experience in the operation of government.

Based on my technical training, my experience as a professor of both electrical engineering and physics, my experience as a consultant or advisor to both industry and government, my work experience as a line manager and corporate officer in industrial organizations, my research publication record, and my experience as a government employee, I believe that I have the appropriate qualifications in each of the activity areas associated with the post of the Director of the Office of Energy Research.

3. Describe any business relationship, dealing or financial transaction (other than tax-paying) which you have had during the last 10 years with the Federal Government, whether for yourself or relatives, on behalf of a client, or acting as an agent, that might in any way constitute or result in a possible conflict of interest with the position to which you have been nominated.

None

4. List and describe any lobbying activity during the past 10 years in which you have engaged for the purpose of directly or indirectly influencing the passage, defeat or modification of any legislation at the national level of government or for the purpose of affecting the administration and execution of national law or public policy.

None

5. Explain how you will resolve any potential conflict of interest that may be disclosed by your responses to the above items.

See the answer to question 6 below.

6. Explain how you will comply with conflict of interest laws and regulations applicable to the position for which you have been nominated. Attach a statement from the appropriate agency official indicating what those laws and regulations are and how you will comply with them.

I will seek and abide by the advice of the Office of General Counsel, Department of Energy.

Department of Energy
Washington, D.C. 20585

JUL 16 1981

Mr. Alvin W. Trivelpiece
7080 Caminito Estrada
La Jolla, CA 92037

Dear Mr. Trivelpiece:

This is intended to serve as a statement from the designated agency ethics official of this Department, as required by question 6 (page 5) of the Statement for Completion by Presidential Nominees that you are submitting to the United States Senate Committee on Energy and Natural Resources in connection with your nomination for the position of Director of Energy Research, Department of Energy. This memorandum reflects discussions you and I have had concerning the conflict of interest laws and regulations applicable to that position; it also reflects the guidance I have given you after reviewing your Standard Form 278 (Financial Disclosure Report) dated May 24, 1981, and your Form DOE-460 (Report on Prior Employment) dated June 11, 1981.

As a supervisory employee of the Department, you will be prohibited by section 602(a) of the DOE Organization Act (Pub. L. 95-91) from knowingly receiving compensation from, holding any official relation with, or having any pecuniary interest in any energy concern. The term "energy concern" is defined in section 601(b) of the Act as any entity "significantly engaged in the business" of any of a variety of activities related to energy production, distribution, sale, or research and development, or any entity significantly engaged in such research and development pursuant to a DOE-funded program irrespective of whether it otherwise engages in such business. The term also includes any entity holding an interest in property from which an energy resource is commercially produced or obtained.

You listed on Schedule A of your Standard Form 278 interests in Science Applications Inc. and Combustion Engineering Co., entities which has been determined to be energy concerns. I understand that you will divest these interests and sever all relationships with your employer, Science Applications, Inc., prior to assumption of office.

With respect to prior employment, sections 606(a) and (b) of the Act state:

(a) For a period of one year after terminating any employment with any energy concern, no supervisory employee shall knowingly participate in any Department proceeding in which his former employer is substantially, directly, or materially involved, other than in a rulemaking proceeding which has a substantial effect on numerous energy concerns.

(b) For a period of one year after commencing service in the Department, no supervisory employee shall knowingly participate in any Department proceeding for which, within the previous five years, he had direct responsibility, or in which he participated substantially or personally, while in the employment of any energy concern.

The term "Department proceeding" is defined in section 1010.103(h) of DOE's Conduct of Employees regulations as "any judicial proceeding, Department hearing, application, rulemaking, order, license, contract, grant, award, fund transfer, claim, controversy, charge, accusation, or arrest, in which the Department is directly involved."

Finally, section 208, title 18, United States Code, makes it a criminal offense for you to participate personally and substantially, as a Government employee, in any particular matter in which you have (or your spouse, minor child, partner, organization in which you are serving as officer, director, trustee, partner, or employee, or any person or organization with whom you are negotiating or have any arrangement concerning prospective employment has) a financial interest. Accordingly, you should avoid participation in any particular matter the outcome of which could have a direct and predictable effect on any of your other financial interests.

Please let me know if I can be of further assistance.

Sincerely,

Thomas E. Robinson
Deputy Assistant General Counsel
for Standards of Conduct

88-035 O - 82 -- 11

United States of America
Office of
Government Ethics

Office of Personnel Management
Washington, D.C. 20415

Honorable James A. McClure
Chairman, Committee on Energy
and Natural Resources
United States Senate
Washington, D.C. 20415

JUL 13 1981

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Alvin W. Trivelpiece, who has been nominated by President Reagan for the position of Director, Office of Energy Research, Department of Energy.

We have reviewed the report and have also obtained advice from the Department of Energy concerning any possible conflict in light of the Department's functions and the nominee's proposed duties.

We have been advised that Mr. Trivelpiece has agreed to divest himself of his financial interests in Science Applications, Inc., and Combustion Engineering Co., prior to his assumption of office. Both of these entities have been determined by the Department to be energy concerns within the meaning of Section 601(b) of the Department of Energy Organization Act.

Also, we have been advised that Mr. Trivelpiece will terminate his positions with Science Applications, Inc., and Fusion Power Associates prior to assuming office and that he will recuse himself in the event any matter involving Science Applications, Inc., comes before the Department of Energy.

Finally, we have been advised that Mr. Trivelpiece will withdraw his interest in the Science Applications, Inc., profit-sharing and stock bonus plan prior to assuming office.

Based upon the above information, we believe that Mr. Trivelpiece will be in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

J. Jackson Walter
Director

Enclosure

JUL 9 1981

Mr. J. Jackson Walter, Director
Office of Government Ethics
Office of Personnel Management
Washington, D.C. 20415

Dear Mr. Walter:

The purpose of this letter is to amend Mr. Goldenberg's opinion letter dated June 23, 1981 concerning the Standard Form 278 filed by Alvin W. Trivelpiece incident to his proposed nomination as Director, Office of Energy Research, Department of Energy.

The third paragraph of Mr. Goldenberg's letter states:

> Mr. Trivelpiece states that his interest in the Science Applications, Inc., profit-sharing and stock bonus plan, listed on Schedule A, will be withdrawn by him upon termination of his employment.

Mr. Trivelpiece will withdraw his interest in the stock bonus plan as stated. However, Mr. Trivelpiece does not plan to withdraw his interest in the profit-sharing plan because he has informed us that his interest in the plan consists of an 80% interest in a diversified common stock fund and the remainder in a guaranteed interest contract with the Prudential Insurance Co. The assets of the plan are held in trust by the Bank of America. By the terms of the plan, the trustee is prohibited from holding any assets of Science Applications, Inc. The only additions to the plan to be made by Science Applications, Inc. for the benefit of Mr. Trivelpiece following the latter's termination will be based upon Mr. Trivelpiece's service in 1981 prior to the termination of his employment. The foregoing has been confirmed by counsel for Science Applications, Inc.

I would appreciate your amending Mr. Goldenberg's referenced letter accordingly.

Sincerely,

Original signed by:
Thomas Robinson

Thomas E. Robinson
Deputy Assistant General Counsel
for Standards of Conduct

Financial statement:

1. Attach a copy of your Executive Personnel Financial Disclosure Report (SF 278).

2. List sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services and firm memberships or from former employers, clients, and customers. Amounts should be indicated by the categories established for reporting income on Form SF 278, Schedule A.

Royalties (approximately $1000/year) from McGraw-Hill Book Company, Inc. for book "Principles of Plasma Physics."

3. Are any assets pledged? (Add schedule.)

Yes. 1. Bank of America , Promisory Note (Prime plus 1%) (> $10,000 to $15,000). 2. California First Bank, Second Trust Deed on residence (15 y, 17%) (> $15,000 to $50,000).

4. Are you currently a party to any legal action?

No

5. Have you ever declared bankruptcy?

No

6. Have you filed a Federal income tax return for each of the last 10 years? If not, please explain.

Yes

7. Has the Internal Revenue Service ever audited your Federal tax return? If so, what resulted from the audit?

No

Department of Energy
Washington, D.C. 20585

JUN 23 1981

Mr. J. Jackson Walter, Director
Office of Government Ethics
Office of Personnel Management
Washington, D.C. 20415

Dear Mr. Walter:

This letter transmits to you, in accordance with 5 C.F.R. §734.604(c)(2)(iii), a copy of the Standard Form 278 submitted by Alvin W. Trivelpiece incident to his proposed nomination as Director, Office of Energy Research, Department of Energy. A position description is attached to the report.

Section 602(a) of the Department of Energy Organization Act (Pub. L. 95-91) prohibits Mr. Trivelpiece from having any official relationship with or financial interest in any energy concern. Science Applications, Inc., and Combustion Engineering Co. have been determined to be energy concerns within the meaning of section 601 of the Act. Mr. Trivelpiece states that he will divest himself of his stock holdings in these entities and resign from Science Applications, Inc., prior to assuming office. He has also indicated that he is not aware of any severance payment, special bonus, or other interest that might result from the termination of his employment with Science Applications, Inc.

Mr. Trivelpiece states that his interest in the Science Applications, Inc., profit-sharing and stock bonus plan, listed on Schedule A, will be withdrawn by him upon termination of his employment. He will also resign from Fusion Power Associates before assuming office.

Mr. Trivelpiece will be given appropriate advice to enable him to comply with the provisions of sections 606(a) and (b) of the DOE Act which prohibit a new supervisory employee, for one year, from participating in certain Departmental proceedings involving a former energy concern employer.

I have certified on the report that the information contained therein discloses no conflict of interest under applicable laws and regulations. I encountered no problems in reaching the conclusions upon which this certification is based other than as described above.

Sincerely,

Ralph D. Goldenberg
Assistant General Counsel
for Standards of Conduct

Enclosures

FINANC

0332 JP/DR

JUN 3 1981

JUN 23 1981

TRIVELPIECE Alvin W

Director, Office of Energy Research Department of Energy

1200 Prospect St. Havilla, California 92037 TR

(714) 454-3811 X-2496 TR

ENERGY AND NATURAL RESOURCES TR

☐ Yes ☒ No

None

Alvin W Trivelpiece 5/24/81

Roger D. Sorensberg 6/23/81

Office of Government Ethics Use Only

Jackson Walter 1-15-81

See 6/23/81 letter of J Jackson Walter, Director, Office of Government Ethics BJ

INCOME AND INTERESTS IN PROPERTY

This schedule is applicable in the case of all reporting individuals

If there are any interests in property, purchases, sales, or exchanges, or liabilities of a spouse or dependent child which you have not reported but which would be reportable, but for the following:

1. They represent solely your spouse's or dependent child's financial interest or responsibility;
2. They are not, in any way past or present, derived from, your income, assets, or activities;
3. You neither derive, nor expect to derive, any financial or economic benefit from them; and
4. You do not have knowledge as to the composition of such interests or liabilities.

Do you certify to all of the above?

Page Number 2 — Schedule A

Reporting Individual's Name: Alvin W. TRIVELPIECE

Agency Use Only

Date of Filing: JUN 3 1981

Source, Type, and Location	Income: Type(s)	Income: Category of Amount or Value	Interests in Property: Value	Interests in Property: Nature of Assets
Science Applications, Inc, La Jolla, CA	Salary	1980 $15,960 1981 $31,656		
Combustion Engineering (Common)			H	
Ball Industries (Common)			H	
DC Base Cascade (Common)				
McGraw Hill Book Co Inc, NY, NY Calif. State Employee Credit Union-89	Bank Royalties	1980 $1072 1981 $688	H	
Berkeley, CA (Savings) La Jolla Federal Savings and Loan Assn.			H	
La Jolla, CA (Savings Account)			H	
DC Sold long term capital gain 80 Shares				
Boise Cascade (Common) Sold short term capital gain - 125 Shares				
DC Goldfield Corp. (Common) Merrill-Lynch Ready Asset Trust			H	
DC Pacific Rim I LTD, 89% owner			A	
Calif. Real Estate Investment Partnership See cover-sheet for			A	
Ocean Pines, MD Science Applications Inc 5650 (Common) La Jolla, CA (High Technology) Stock			E	
Merrill Lynch - IRA (Cash Equivalent Money Fund)			H	

Science Applications, Inc Profit Sharing and Stock Bonus Plan (Value)

PURCHASES, SALES, AND EXCHANGES

(Report transactions only in the case of annual and termination reports)

Report Amounts Rounded to Nearest $1,000 or Specify Other Reporting Method for Schedule A

Page Number 3

Alvin W. Trivelpiece

Agency Use

JUN 3 1981

Reporting Person (See Instructions)	Type of Transaction			Date of Transaction (Month, Day, Year)		Amount of Transaction			
	Purchase	Sale	Exchange	Reported	Owned by Spouse		$1,001 to $15,000	$15,001 to $50,000	$50,001 to $100,000
NONE									

GIFTS AND REIMBURSEMENTS

This schedule is applicable only in the case of annual and terminating reports.

4 C

ALVIN W TRIVELPIECE

JUN 3 1981

Brief Description	Value
NONE	

Brief Description	Value
NONE	

Brief Description	Value
NONE	

LIABILITIES — Items solicited should be noted for the third section, as instruction to the cases of all reporting individuals.

Alvin W. TRIVELPIECE — JUN 3 1981

Name and Address of Creditor	Type of Liability (e.g., promissory note, margin account) Give date, interest rate and, if applicable, term
Bank of America La Jolla Branch La Jolla, CA California First Bank La Jolla Branch 2807 Girard, La Jolla, CA	Prime plus 1% Promissory Note guaranteed 5 year by Science Applications, Inc Dated 1/28/78 term 17%, 15 year 2nd Trust Deed 12/17/79

POSITIONS HELD

Name and Address of Organization	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Science Applications, Inc 1200 Prospect St. La Jolla, CA	Corporation (Private)	Officer, Corp. Vice President	June 78	Present
Fusion Power Associates 2 Professional Drive, Gaithersburg, Md	Non Profit 501C3 Educational	Director	Aug 74	Present
La Jolla Chamber Music Society La Jolla, CA	Non Profit	Director	July 80	Present

CONTRACTS, REFERENCES, AND CONSULTING PAID BY ONE SOURCE This section is applicable only to the case of nominees and new entrants.

Name and Address of Source of Income	Description of Duties
~~NONE~~ Science Applications Inc.	Corporate Vice President - corporate level responsibilities reporting to the Chief Executive Officer

RELATIONS WITH OTHER EMPLOYERS Describe any plan, agreement or arrangement

Name and Address of Party	Date
NONE	

AFFIDAVIT

DISTRICT OF COLUMBIA) ss

Alvin W. Trivelpiece , being duly sworn, hereby states that he/she has read and signed the foregoing Statement for Completion by Presidential Nominees including the Financial Statement and that the information provided therein is, to the best of his/her knowledge and belief, current, accurate, and complete.

Alvin W. Trivelpiece

Subscribe and sworn before me this 15th day of July , 19 81

Notary Public

My Commission Expires 11/14/84